



North Hertfordshire District Council

Retention Schedule

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

2009

Final Version

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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 12 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 12 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	District Wide Survey Place Survey Local Development Framework
The process of consulting the public and staff in the development of minor policies of the local authority	Destroy 1 year from closure	Leisure surveys

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	Drafts of publications as below
The published work of the local authority	Destroy after administrative use is concluded.	Outlook residents' magazine District guide NHDC News staff newsletter

Media Relations

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
Process of interaction with the media	Destroy 3 years from closure	Press enquiries
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 assessment and nomination for social housing by the local authority and the associated issues of housing advice and homelessness.

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
Records relating to the registration and rehousing of housing applicants.	Destroy after 2 years from closure of application.	<ul style="list-style-type: none"> • Council Housing Register Application • Nomination records • Electronic records
Records relating to the determination of homelessness applications.	Destroy after 2 years from date of decision or closure of housing application, whichever is later.	<ul style="list-style-type: none"> • Homelessness Application • Case notes • Electronic records
Records relating to the provision of housing advice.	Destroy after 2 years from the provision of advice or closure of housing file, whichever is later.	<ul style="list-style-type: none"> • Correspondence • Case notes • Electronic records

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
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> Name Date of Birth Date of Appointment Work History Details Position/Designation Titles & Dates Held Terms and Conditions	Until individual is 100.	<ul style="list-style-type: none"> • HR Payroll system • Employment Register – Casual Staff • Starter Forms • Personnel Files • Personal History documentation • Superannuation History • Salary Master Record
The process of administering employees to ensure that entitlements & obligations are in accordance with agreed employment requirements		
<ul style="list-style-type: none"> • Records containing superannuation information 	Retain until employee is age 100	<ul style="list-style-type: none"> • Medical Clearance • Letter of appointment • Letter of acceptance • Details of assigned duties • Probation reports
<ul style="list-style-type: none"> • Records relating to staff working with children 	Termination + 25 years	<ul style="list-style-type: none"> • Medical examinations • Personal particulars • Educational qualifications • Declarations of pecuniary interests • Secrecy undertakings • Employment contracts
<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	6 years after no longer in use.	<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
Managing Misconduct warnings or outcomes and Complaint Information if found	Retain until age 72 if disciplinary action has resulted in any changes to T&C, pay, Performance related pay etc.	<ul style="list-style-type: none"> • Disciplinary Documentation on File
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 Documentation on File

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 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 Policy Schedules
The process of insuring Local Authorities Officers, property, vehicles and equipment against loss or damage	Destroy 7 years after the terms of the policy have expired (non Liability)	<ul style="list-style-type: none"> • Insurance Policies • Correspondence
The insurance cover for legal liability	Permanent	<ul style="list-style-type: none"> • Liability insurance policies and certificates
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 21 years of age)	<ul style="list-style-type: none"> • Claims Records • Correspondence
The process that records insurance claims against the Local Authority for property damage caused by tree roots	Permanent	<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 6 Years from last action	<ul style="list-style-type: none"> Equipment inspection records
Processing the geotechnical assessments of a quarry	When quarry is no longer in use consult or refer to Health and Safety Executive	
Process of carrying out monitoring to ensure that the process is safe	Destroy 3 Years from last action	<ul style="list-style-type: none"> Monitoring results
Process of monitoring of areas where employees and persons are likely to have become in contact with asbestos	Destroy 40 Years from last action.	<ul style="list-style-type: none"> Property asbestos files
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
Process to ensure safe systems of work	Retain until superseded or process ceases +1 year	
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 requirements in summary form.	Permanent. Transfer to Place of Deposit after administrative use is concluded	<ul style="list-style-type: none"> • Reports in connection with ACOLAID data
The administration of applications, registrations, certification and licences in relation to local authorities registration requirements.	Destroy 2 years after registration or entitlement lapses	<ul style="list-style-type: none"> • Applications for animal licensing • Applications for Registration of a Business Premises • Registers • Certificates of Registration • Disabled Parking permits • Orange badge •
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"> • 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"> • Appeals Against Notices • Registration of Premises Infringement 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"> • Food hygiene inspections • Health and safety inspections • Licensing 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 • Simple Cautions • Fixed Penalty Notices • Works undertaken in default

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. Destroy 7 years after prosecution.	<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 15 years after last action	Route sheets for contract
The process of arranging the collection or transportation of controlled waste.	Destroy 15 years after last action	Route sheets and contractual details for contract.

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 25 years after site closure.	Transfer sites- site licence has to be kept for 25 years
The process involved in managing the use, type and amount of waste to be disposed at a specific site.	Destroy 25 years after site closure.	Waste site plans - - site licence has to be kept for 25 years

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	