



North Hertfordshire District Council

Retention Schedule

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

Final Version December 2009

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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 | Destroy 3 years from last action | <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 4 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 4 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 4 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 • 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 | 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"> • Reconciliations • 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 | <ul style="list-style-type: none"> • 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 | <ul style="list-style-type: none"> 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 – may be retained electronically only 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. | Applications under the Planning Acts retained permanently. Others - 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. The enforcement register (planning) must be available to the public – electronic format is sufficient. | |
| Street naming and numbering statutory requirements | Destroy 10 years after completion | |

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 | |

Children & Young People

| FUNCTION DESCRIPTION | RETENTION ACTION | EXAMPLES OF RECORDS |
|---|--|---------------------|
| Registration forms, incident/accident reports, safeguarding reports | Destroy when individual reaches age 21 | |