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# Retention and Disposal Policy

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# 1. Establishment of the Schedule

## 1.1 Introduction

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

## 1.2 Scope

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

## 1.3 Objectives

- 1.3.1 The standard:
- Define minimum record retention periods
  - Identify records that are to be kept indefinitely
  - Ensure that the premature destruction of records that need to be retained for a specified period for either legal, financial and other requirements of public administration does not happen
  - Provides a consistent method for destroying out of date records
  - Provides consistent records management standards for the Authority.

## **1.4 Review**

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

## **2. Retention Policy**

### **2.1 Procedural Requirements**

- 2.1.1 Any decision to retain or dispose of a document should be taken in accordance with this policy.
- 2.1.2 Essentially no document should be disposed of without consideration of this policy.
- 2.1.3 The Retention Schedule is contained in Section 3. It provides guidance on recommended and mandatory minimum retention periods for specific classes of documents/records.
- 2.1.4 Where a retention period has expired in relation to a particular document a review should always be carried out before a final decision is made to dispose of that document. Such reviews need not necessarily be detailed or time consuming. Where the Director (or designated officer) is familiar with the contents of the document or where the contents are straightforward and apparent then such an exercise may only take a few minutes.
- 2.1.5 In the event that a decision is taken to dispose of a particular document or set of documents, then consideration should be given to the method of disposal.

### **2.2 Roles and Responsibilities**

#### **2.2.1 Role of Directors**

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

### **2.2.2 Role of the Legal Team**

2.2.2. The Legal Team can advise on whether minimum retention periods are prescribed by law, and whether retention is necessary to protect the Council's position where the likelihood of a claim has been identified by the relevant Director.

2.2.2 The Legal Team will be available to provide Directors with advice and guidance on effective records management practices.

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

2.3.2 Clearly, in many instances the retention of personal data will be necessary and thus justified. In general, provided there is adherence to this Policy few problems should arise.

## 3. Record Disposal Policy

### 3.1 Procedural Requirements

- 3.1.1 Once it has been determined that a document or record is no longer required, disposal must be in accordance with the one of the following procedures:
- Confidential waste – making use of the blue bin service within the council offices.
  - Non-Confidential waste – making use of the recycling bins within the council offices.
  - Physical destruction on site (e.g. paper records - shredding)
  - Deletion – where computer files are concerned – includes email
  - Migration of document to external body
- 3.1.2 The following considerations should be taken into account when selecting any method of disposal:
- 3.1.3 Under no circumstances should paper documents containing personal data or confidential information be simply binned or deposited in refuse tips. To do so could result in the unauthorised disclosure of such information to third parties, and render the Council liable to prosecution or other enforcement action under the DPA/GDPR. Such documents should be destroyed on site (e.g. by shredding) or placed in the Confidential Waste (blue) bins.
- 3.1.4 Deletion – the Information Commissioner has advised that if steps are taken to make electronic data virtually impossible to retrieve, then this will be regarded as equivalent to deletion.
- 3.1.5 Migration of documents to a third party (other than for destruction or recycling) is unlikely to be an option in most cases. However, this method of disposal will be relevant where documents or records are of historic interest and/or have intrinsic value. The third party here could well be the National Archives previously known as the Public Record Office. “Migration” can, of course, include the sale of documents to a third party.
- 3.1.6 Recycling – wherever practicable disposal should involve recycling in-line with Council’s commitment to sustainable development and promoting an alternative waste disposal strategy. The recycling waste bins should be used for this purpose.
- 3.1.7 If a large scale disposal is taking place, the disposal should be documented by keeping a record of the document disposed of, the date and method of disposal, and the officer who authorised disposal, to ensure Officers are able to understand what stage has been reached during that process. Routine disposal in accordance with the Policy does not require a record to be kept.

## 4. Key Disposal/Retention considerations

### 4.1 Introduction

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

### 4.2 Retention required to fulfil Statutory or other Regulatory requirements?

4.2.1 There is little legislation that provides mandatory retention periods in local government. The legislation that does impose minimum retention periods, directly or indirectly are as follows:

- **Tax Legislation:** Minimum retention period for certain financial records are imposed by statutes such as the VAT Act 1994, and the Taxes Management Act 1970. These retention periods are identified in the retention schedules.
- **Statutory Registers:** Various local government statutes require registers to be kept of certain events, notifications, or transactions. It is implicit within such legislative requirement that these records be maintained on a permanent basis, unless the legislation concerned stipulates otherwise.
- **The Audit Commission Act 1998:** This provides auditors with a right of access to every document relating to the Council that appears necessary for the purposes of carrying out the auditor's functions under the Act.
- **The Local Government Act 1972, S.225:** Any document deposited with "the proper officer" of the Council in accordance with Statute should be retained permanently. (This is analogous to the position re Registers, above).
- **Part VA of the Local Government Act 1972:** This governs public access to certain documents relating to Council and Committee meetings. Certain documents that form part of the public part of the agenda are required to be available for inspection by members of the public.

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

4.3.1 The Council may be involved in disputes with third parties. Such disputes, if not satisfactorily resolved, can result in the dissatisfied party bringing legal proceedings against the Council. On the other hand, the Council may wish to institute legal proceedings against an individual or organisation e.g. to recover an unpaid debt, or in respect of faulty workmanship. Where a dispute arises, or litigation has been commenced it is important that the Council has access to all correspondence and other documentation that is relevant to the matter. Without such, there is the danger that the Council's position will be compromised.

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



4.3.3 It is important, though, to keep in mind that in the course of the Council's everyday business large numbers of documents are generated that serve no purpose after relatively short periods of time. Many documents will relate to completed matters where, realistically, the risk of subsequent litigation or other dispute is minimal, if not non-existent. Long-term retention of such documents is counterproductive. Directors should be prepared to carry out a risk analysis, with a view to disposal of such documents within a shorter period of than the 6 years' time frame.

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

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

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

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

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

## 5. Retention Schedule

### 5.1 Retention Standards - Contents

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

<b>Ref No.</b>	<b>Description</b>
<b>1.</b>	<b>DEMOCRATIC PROCESSES</b>
1.1-1.3	Elections Preparations
1.4-1.5	Council and Committee Meetings
1.6-1.7	Partnership, Agency and External Meetings
1.8	Honours and Submissions
1.9	Political Parties Papers
<b>2.</b>	<b>MANAGEMENT AND ADMINISTRATION</b>
2.1-2.4	Corporate Planning and Reporting
2.5	Statutory Returns
2.6-2.7	Policy, Procedures, Strategy and Structure
2.8-2.9	Public Consultation
2.10-2.14	Information Management
2.15-2.18	Enquiries and Complaints
2.19-2.20	Quality and Performance Management
2.21-2.22	Publications
2.23-2.24	Media Relations
2.25	Marketing
2.26-2.27	Civic and Royal Events
2.28-2.31	Case Housing Provision
<b>3.</b>	<b>LEGAL AND CONTRACTS</b>
3.1	Litigation
3.2-3.4	Contracts
3.5	Advice
3.6	Agreements
3.7	Conveyance
3.8	Pre Contract Advice
3.9	Specification and Contract Development
3.10	Tender Issuing and Return
3.11-3.13	Evaluation of Tender
3.14	Post Tender Negotiation
3.15	Awarding of Contract
3.16-3.17	Contract Management
3.18	Tenancy Agreements

#### **4. HUMAN RESOURCES**

- 4.1-4.4 Personnel Administration
- 4.5-4.8 Employee and Industrial Relations:
- 4.9 Capability
- 4.10 Equal Employment Opportunities
- 4.11 Sickness Records
- 4.12 Occupational Health
- 4.13-4.14 Recruitment
- 4.15-4.16 Staff Monitoring
- 4.17-4.18 Staff Retention
- 4.19 Termination
- 4.20-4.25 Training and Development
- 4.26-4.29 Appointment of Statutory Officers

#### **5. FINANCIAL MANAGEMENT**

- 5.1-5.2 Accounts & Audit Reporting
- 5.3-5.8 Financial Transactions Management
- 5.9-5.10 Payroll Accountable
- 5.11-5.13 Financial Provisions Budgets and Estimates
- 5.14-5.15 Loans
- 5.16-5.20 Housing
- 5.21 Business Rates / Council Tax Valuation
- 5.22 Property History
- 5.23 Business Rates / Local Taxation and Benefit Correspondence
- 5.24-5.25 Summary Assets Management
- 5.26-5.29 Asset Monitoring and Maintenance
- 5.30 Asset Acquisition and Disposal

#### **6. PROPERTY AND LAND MANAGEMENT**

- 6.1 Property and Land Management
- 6.2-6.3 Property Acquisition and Disposal
- 6.4-6.7 Property Development and Renovation
- 6.8-6.9 Leasing and Occupancy
- 6.10 Housing Provision
- 6.11-6.13 Systems Management
- 6.14-6.17 Transport Management
- 6.18-6.20 Insurance - Policy Management
- 6.21 Insurance Claims Management

#### **7. GENERAL PUBLIC SERVICES**

- 7.1-7.10 Health and Safety - Inspections and Assessments
- 7.11-7.12 Emergency Planning
- 7.13-7.14 Major Incident
- 7.15 Enforcement Certification and Prosecution Registration, Certification and Licensing
- 7.16 Prosecution
- 7.17 By-Laws - Enactments
- 7.18 By-Laws – Administration & Enforcement
- 7.19-7.20 Cemeteries and Crematoria
- 7.21-7.25 Waste Management – Collection and Disposal of waste

**8. PLANNING AND LAND USE**

8.1-8.6 Planning Scheme Development and Amendment

8.7-8.12 Planning Scheme Regulation

**9. PLANT & EQUIPMENT MAINTENANCE AND INSPECTION**

9.1-9.9 Plant & Equipment maintenance Inspection

# Disposal Guidelines

## 1. Democratic Processes

Ref No.	Function Description	Retention Action	Examples of Records	Notes
	<b>Elections Preparations</b>			
1.1.	Summary certification of those eligible to vote	Permanent. Offer to Archivist after administrative use is concluded	<ul style="list-style-type: none"> <li>Electoral Register</li> </ul>	Electoral Registration & Administration Act 2013
1.2.	Voting (Local elections only)	Destroy 12 months from close of poll	<ul style="list-style-type: none"> <li>Ballot papers</li> </ul>	Statutory Representation of the People Act 1983 Schedule 1 Part 5
1.3.	Declaration of results (local elections only)	Destroy 12 months from date of election	<ul style="list-style-type: none"> <li>Consolidated returns of votes received</li> </ul>	Statutory Representation of the People Act 1983
	<b>Council and Committee Meetings</b>			
1.4.	The process of preparing business for Council consideration and making the record of discussion, debate and resolutions	Permanent Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>Council minutes - Permanent</li> <li>Council agenda and business papers -6 years</li> <li>Council notice papers and proceedings – 6 years</li> <li>Indexes- 6 years</li> <li>Committee minutes - Permanent</li> <li>Registers of delegations to Special Committees – Date of delegation plus 7 years</li> </ul>	Public Bodies (Admission to Meeting) Act 1960 Local Government Act 1972  Local Government Act 2000

Ref No.	Function Description	Retention Action	Examples of Records	Notes
1.5.	Minute taking	Destroy after date of confirmation of the minutes	<ul style="list-style-type: none"> <li>Draft/rough minutes</li> </ul>	Common Practice & Retention Guidance for Local Authorities (RGLA)
			<ul style="list-style-type: none"> <li>Audio recording – Date of meeting plus 2 years</li> </ul>	Local Government Act 1972 & RGLA
	<b>Partnership, Agency and External Meetings</b>			
1.6.	The process of preparing business for partnership and agencies consideration and making the record of discussion, debate and resolutions, where the local authority legally <b>owns</b> the record.	Permanent – Minutes Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>Documents establishing the committee - 6 years</li> <li>Agendas – 6 years</li> <li>Minutes - Permanent</li> <li>Council reports – 6 years</li> <li>Recommendations 6 years</li> <li>Supporting documents such as Council briefing and discussion papers – 6 years</li> </ul>	As Above
1.7.	The process of preparing business for external committees' consideration, and making the record of discussion, debate and resolutions, where the local authority <b>does not</b> own the record.	Destroy 4 years after last action	<ul style="list-style-type: none"> <li>Documents establishing the committee</li> <li>Reports</li> <li>Recommendations</li> <li>Supporting documents such as briefing and discussion papers.</li> </ul>	Local Authorities Act (Executive Arrangements) (Meetings and Access to Information) (England) 2012

Ref No.	Function Description	Retention Action	Examples of Records	Notes
	<b>Honours and Submissions</b>			
1.8.	The process of preparing of honours submission	Destroy 5 years after last action	<ul style="list-style-type: none"> <li>• Honours nomination form</li> <li>• Covering documentation</li> <li>• Letters of support</li> <li>• Referral for comment from lord lieutenant</li> </ul>	RGLA
	<b>Political Parties Papers</b>			
1.9.	The process of undertaking representation of the local authority - local authority representatives	Destroy 3 years after last action	<ul style="list-style-type: none"> <li>• Leader of opposition papers</li> <li>• Leader of council papers</li> </ul>	Common practice

## 2. Management and Administration

Ref No.	Function Description	Retention Action	Examples of Records	Notes
	<b>Corporate Planning and Reporting</b>			
2.1.	The corporate planning and reporting activities of local authorities	Current Year plus 5 years Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>• Corporate Plans</li> <li>• Strategy Plans</li> <li>• Business Plans</li> <li>• Annual Reports</li> </ul>	Limitations Act 1980
2.2.	The process of preparing business for strategic consideration and making the record of discussion, debate and resolutions	Permanent Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>• Strategic management team minutes</li> </ul>	Common practice
2.3.	The process of preparing business for cross departmental consideration and making the record of discussion, debate and resolutions	Destroy 3 years from closure		Common practice
2.4.	The process of preparing business for Unit/Team consideration and making the record of discussion, debate and resolutions	Destroy 3 years from closure Destroy rough drafts after date of confirmation of the minutes		Common practice
	<b>Statutory Returns</b>			
2.5.	The process of preparing information to be passed on to central government as part of statutory requirements	Current year plus 6 years	<ul style="list-style-type: none"> <li>• Reports to central government</li> </ul>	HMRC – Compliance Handbook Manual CH15400



Ref No.	Function Description	Retention Action	Examples of Records	Notes
	<b>Policy, Procedures, Strategy and Structure</b>			
2.6.	Activities that develop policies, procedures, strategies and structures for the local authorities	6 years from date of meeting or decision.	<ul style="list-style-type: none"> <li>• Policy, procedure, precedent, instructions</li> <li>• Organisation charts</li> <li>• Records relating to policy implementation and development</li> <li>• Asset management plan</li> <li>• Community strategy</li> <li>• Community plan</li> <li>• Community safety plan</li> </ul>	Local Authorities (Executive Arrangement) (Meetings and Access to Information) (England) 2012)
2.7.	The process of monitoring and reviewing strategic plans, policies or procedure to assess their compliance with guidelines	6 years from date of meeting or decision		Local Authorities (Executive Arrangement) (Meetings and Access to Information) (England) 2012)
	<b>Public Consultation</b>			
2.8.	The process of consulting the public and staff in the development of significant policies of the local authority	6 years from date created		ESD Local Government Retention Record (LGRR)
2.9.	The process of consulting the public and staff in the development of minor policies of the local	Destroy 1 year from closure		Common practice

Ref No.	Function Description	Retention Action	Examples of Records	Notes
	authority			
	<b>Information Management</b>			
2.10.	The activity whereby standards, authorities, restraints and verifications are introduced and maintained to manage information effectively	Permanent. Offer to Archivist for review Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>• Classification schemes</li> <li>• Registers</li> <li>• Indexes</li> <li>• Authorised lists of file headings</li> </ul>	Common practice
2.11.	The management of collections of records transferred to the archives	Permanent. Offer to Archivist for review Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>• Accession registers</li> <li>• Depositor files</li> </ul>	Common practice
2.12.	The process that records the disposal of records	Destroy 10 years after last action	<ul style="list-style-type: none"> <li>• Disposal certificates</li> </ul>	ESD LGRR
2.13	Emails (received and sent) to match Corporate Policy	Automatically destroy after 6 months on a rolling basis	Emails (received and sent ) to match Corporate Policy	
2.14	Emails (deleted items) to match Corporate Policy	Automatically destroy after 30 days on a rolling basis	Emails (deleted items) to match Corporate Policy	
	<b>Enquiries and Complaints</b>			
2.15.	The management in summary form of enquiries and complaints directed to council	Permanent Transfer to place of deposit after administrative use is	<ul style="list-style-type: none"> <li>• Indexes</li> <li>• Registers</li> </ul>	Common practice

Ref No.	Function Description	Retention Action	Examples of Records	Notes
		concluded.		
2.16.	The management of enquiries, submissions and complaints which result in significant changes to policy or procedures	Permanent. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>• Reports</li> <li>• Returns</li> <li>• Correspondence</li> </ul>	Common practice
2.17.	The management of detailed responses on council actions, policy or procedures	Destroy 7 years after administrative use is concluded	<ul style="list-style-type: none"> <li>• Reports</li> <li>• Returns</li> <li>• Correspondence</li> <li>• Ombudsman - 10 years from date complaint resolved</li> </ul>	Common practice
2.18.	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"> <li>• Printed material</li> <li>• Form letters</li> <li>• FOI/EIR requests</li> </ul>	Common practice
	<b>Quality &amp; Performance Management</b>			
2.19.	The process of monitoring or reviewing the quality, efficiency, or performance of a local authority service or unit	Destroy 5 years from closure	<ul style="list-style-type: none"> <li>• Best Value Review</li> </ul>	Common practice
2.20.	The process of assessing the quality, efficiency, or performance of a local authority service or unit	Destroy 2 years from closure	<ul style="list-style-type: none"> <li>• Assessment form</li> </ul>	Common practice
	<b>Publications</b>			
2.21.	The process of designing setting information for	Destroy 3 years from last action		Common practice

Ref No.	Function Description	Retention Action	Examples of Records	Notes
	publication			
2.22.	The published work of the local authority	Destroy after 3 years administrative use is concluded  <b>Note: One copy from the initial print run should go directly to the archive.</b>		ESD LGRR
	<b>Media Relations</b>			
2.23.	Process of interaction with the media	Destroy 3 years from closure		ESD LGRR
2.24.	Media publications concerning local authorities	Permanent. Offer to Archivist.  Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>• Press cuttings</li> <li>• Media reports</li> </ul>	ESD LGRR
	<b>Marketing</b>			
2.25.	The process of developing and promotion of local authorities campaigns and events	3 Years after last action  Transfer to place of deposit after administrative use is concluded		ESD LGRR
	<b>Civic and Royal Events</b>			
2.26.	The recording of ceremonial events and civic occasions	<b>Permanent.</b> Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>• Visitors' book</li> <li>• Audio tapes</li> <li>• Video tapes</li> <li>• Photographs</li> </ul>	ESD LGRR

Ref No.	Function Description	Retention Action	Examples of Records	Notes
2.27.	The process of organising a ceremonial event or civic occasions	<b>Permanent.</b> Transfer to place of deposit after administrative use is concluded		ESD LGRR
	<b>Case Housing Provision</b>			
2.28.	The process of the allocation and management of welfare housing by the local authority and the associated issues of homelessness			
	General Housing Issues	Destroy after 6 years after termination of tenancy/ claim	<ul style="list-style-type: none"> <li>• Housing Energy</li> <li>• Housing Benefits</li> <li>• Renewals and Grants over £50K 12 years</li> </ul>	Limitations Act 1980 & ESD LGRR
	Supporting People	Destroy after 6 years after application	<ul style="list-style-type: none"> <li>• Accounts</li> <li>• Right to Buy</li> <li>• Council Tax</li> <li>• Housing Development</li> <li>• Hostels</li> <li>• Housing Options</li> <li>• Tenancy Support</li> <li>• Sheltered Housing</li> <li>• Supported Housing</li> <li>• Community care</li> <li>• Housing Repairs</li> </ul>	Limitations Act 1980 & ESD LGRR

Ref No.	Function Description	Retention Action	Examples of Records	Notes
			<ul style="list-style-type: none"> <li>• Outreach Teams</li> </ul>	
	Tenancy Files	Destroy after 6 years after tenancy expires	<ul style="list-style-type: none"> <li>• Case Files</li> </ul>	
2.29.	The registration of individuals housing applications	Permanent. Offer to Archivist.	<ul style="list-style-type: none"> <li>• Council housing register</li> </ul>	Common practice
2.30.	The process for applying for council housing (Unsuccessful applications only, successful applications will generally be placed on the tenancy file)	Destroy 6 years after closure	<ul style="list-style-type: none"> <li>• Council housing Application forms and supporting material</li> <li>• Application for transfer of tenancy and supporting papers</li> </ul>	Common practice
2.31.	The process for managing the tenancy of an individual tenant	Destroy <b>12</b> years after termination of tenancy	<ul style="list-style-type: none"> <li>• Correspondence re tenancy</li> <li>• Tenancy files Council housing Application forms and supporting material</li> <li>• Application for transfer of tenancy and supporting papers</li> <li>• Application for emergency housing or referral from another agency</li> </ul>	Common practice These may need to be kept for a longer period of time in order to prove that the tenant was actually housed properly by the authority

### 3. Legal and Contracts

Ref No.	Function Description	Retention Action	Examples of Records	Notes
	<b>Litigation</b>			
3.1	Claims The process of managing, undertaking or defending for or against litigation on behalf of the local authority.	6 years after settlement of claims or 6 years from 18 <sup>th</sup> birthday whichever is later	<ul style="list-style-type: none"> <li>• High Court against ADC</li> <li>• High Court by ADC</li> <li>• County Court against ADC</li> <li>• County Court by ADC</li> <li>• Criminal cases against ADC</li> <li>• Criminal cases by ADC</li> </ul>	Limitation Act 1980
	<b>Contracts</b>			
3.2	Contracts	Retain for 6 years if under hand and 12 years if under seal/deed after the terms of contract have expired	<ul style="list-style-type: none"> <li>• Major Works</li> <li>• Computer</li> <li>• Minor Works (Non Standard)</li> <li>• Consultancy</li> <li>• Goods</li> <li>• Services</li> <li>• Concession</li> <li>• Commission (Work)</li> <li>• Minor Works Contract (Unit Rate)</li> <li>• General</li> </ul>	Limitation Act 1980
3.3	Debts	Retain for 7 Years	<ul style="list-style-type: none"> <li>• Ex Tenant Arrears (without existing orders)</li> <li>• Overpaid Housing Benefit</li> <li>• Building Inspection Fees</li> <li>• Overpaid Housing Benefit to Landlord</li> <li>• Employee Debts</li> <li>• Rechargeable Works</li> <li>• Drain /Footway &amp; Repair Work.</li> </ul>	

Ref No.	Function Description	Retention Action	Examples of Records	Notes
			<ul style="list-style-type: none"> <li>• Commercial Debts</li> <li>• RTB service &amp; Repair Charges</li> <li>• Works in default</li> <li>• Accident Damage</li> <li>• Overpaid Council Tax Reduction</li> <li>• Shop Front/Facelift Scheme</li> <li>• Housing Renovation Grant</li> <li>• Advertising</li> <li>• Ex-Tenant arrears (with existing court orders)</li> <li>• Tipping charges</li> <li>• Removal of rubbish</li> <li>• Sundry Debts</li> </ul>	
3.4	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 – <b>offer to Archivist for review</b>	<ul style="list-style-type: none"> <li>• Criminal case file</li> <li>• Civil case file</li> <li>• Correspondence</li> </ul>	Common practice
	<b>Advice</b>			
3.5	The process of providing legal advice on a point of law.	Destroy 3 years after last action – unless a major precedent, then offer to Archivist for review		Common practice
	<b>Agreements</b>			
3.6	Process of agreeing terms between organisations <b>Note</b> : this does not	Destroy 6 years after agreement expires or is terminated	<ul style="list-style-type: none"> <li>• Concordat</li> </ul>	Common practice Depends on value of agreement



Ref No.	Function Description	Retention Action	Examples of Records	Notes
	include contractual agreements			Mainly to do with agreements between public bodies, not in regard to contracts
	<b>Conveyance (see also Property Acquisition and Disposal)</b>			
3.7	The process of changing ownership of land or property	Destroy <b>12</b> years after closure	<ul style="list-style-type: none"> <li>Conveyancing files</li> </ul>	Statutory
	<b>Contracts and Tendering</b>			
	<b>Pre Contract Advice</b>			
3.8	The process of calling for expressions of interest	Destroy <b>2</b> years after contract let or not proceeded with	<ul style="list-style-type: none"> <li>Expressions of Interest</li> </ul>	Common practice
	<b>Specification and Contract Development</b>			
3.9	The process involved in the development and specification of a contract	<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"> <li>Tender specification</li> </ul> <p>Note: For project files containing drafts leading to a final version these records can be destroyed.</p>	Statutory

Ref No.	Function Description	Retention Action	Examples of Records	Notes
	<b>Tender Issuing and Return</b>			
3.10	The process involved in the issuing and return of a tender	Destroy 1 year after start of contract	<ul style="list-style-type: none"> <li>Opening notice</li> <li>Tender envelope</li> </ul>	Common practice
	<b>Evaluation of Tender</b>			
3.11		<ul style="list-style-type: none"> <li><u>Ordinary Contracts</u> Destroy 6 years after the terms of contract have expired</li> <li><u>Contracts Under Seal</u> Destroy 12 years after the terms of contract have expired</li> </ul>	<ul style="list-style-type: none"> <li>Evaluation criteria</li> </ul>	Statutory
3.12	Successful tender document	<ul style="list-style-type: none"> <li><u>Ordinary Contracts</u> Destroy 6 years after the terms of contract have expired</li> <li><u>Contracts Under Seal</u> Destroy 12 years after the terms of contract have expired</li> </ul>	<ul style="list-style-type: none"> <li>Tender documents</li> <li>Quotations</li> </ul>	Statutory
3.13	Unsuccessful tender documents	Destroy 1 year after start of contract	<ul style="list-style-type: none"> <li>Tender documents</li> <li>Quotations</li> </ul>	Common practice
	<b>Post Tender Negotiation</b>			
3.14	The process in negotiation of a contract after a	Destroy 1 year after the terms of contract have	<ul style="list-style-type: none"> <li>Clarification of contract</li> <li>Post tender negotiation minutes</li> </ul>	Common practice

Ref No.	Function Description	Retention Action	Examples of Records	Notes
	preferred tender is selected	expired		
	<b>Awarding of contract</b>			
3.15	The process awarding of contract	<ul style="list-style-type: none"> <li>• <u>Ordinary Contracts</u> Destroy 6 years after the terms of contract have expired</li> <li>• <u>Contracts Under Seal</u> Destroy 12 years after the terms of contract have expired</li> </ul>	<ul style="list-style-type: none"> <li>• Signed contract</li> </ul>	Statutory
	<b>Contract Management</b>			
3.16	Contract operation and monitoring	Destroy 2 years after the terms of contract have expired	<ul style="list-style-type: none"> <li>• Service Level Agreements</li> <li>• Compliance reports</li> <li>• Performance reports</li> </ul>	Common practice
3.17	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"> <li>• Minutes and papers of meetings</li> <li>• Changes to requirements</li> <li>• Variation forms</li> <li>• Extension of contract</li> <li>• Complaints</li> <li>• Disputes on payment</li> </ul>	Statutory
	<b>Tenancy Agreements</b>			
3.18	The process of awarding tenancies in welfare housing	a) <u>Ordinary Tenancy</u> Destroy 6 years after the terms of agreement have expired	<ul style="list-style-type: none"> <li>• Signed tenancy agreements</li> <li>• Sealed tenancy agreements</li> </ul>	Statutory

Ref No.	Function Description	Retention Action	Examples of Records	Notes
		b) <u>Tenancy Under Seal</u> Destroy 12 years after the terms of agreement have expired		

## 4. Human Resources

Ref No.	Function Description	Retention Action	Examples of Records	Notes
	<b>Personnel Administration</b>			
4.1	<p>Summary management systems that allow the monitoring &amp; management of employees in summary form</p> <p><u>Note: The summary information that this record class attempts to capture is:-</u></p> <p>Name DOB Marital Status Gender Date of appointment Next of kin Emergency contacts Work history details Position/designation Titles &amp; dates held Salary details</p>	<p><b>Permanent. Offer to Archivist for review.</b></p> <p>Transfer to place of deposit after administrative use is concluded</p> <p>Salary record, Timesheets, Overpayments, Pay slips, – destroy after 6 years</p> <p>Flexi time – rolling 2 years from end of flexi period, unless time keeping is disputed</p> <p>WTD opt-out form, duration of employment or 3 years after opt-out has been rescinded or ceased to apply</p> <p>Establishment Lists, retain for up to 5 years for reasons relating to recruitment etc.</p> <p>Employee contact details, duration of employment in post/section</p> <p>Salary verification and Benefit Agency enquiries, rolling 6 months.</p>	<ul style="list-style-type: none"> <li>• Employment Register – Permanent Staff</li> <li>• Employment Register – Temporary Staff</li> <li>• Employment Register – Casual Staff</li> <li>• Registers of personnel files</li> <li>• Personal History cards</li> <li>• Superannuation history card</li> <li>• Salary master record</li> <li>• Timesheets</li> <li>• Overpayments</li> <li>• E1As</li> <li>• Pay slips</li> <li>• Flexi time</li> <li>• Working Time Opt-out form</li> <li>• Employee contact details</li> <li>• Salary verification/ mortgage etc.</li> <li>• Benefit Agency enquiries</li> </ul>	<p>Limitation Act 1980 HMRC CH14530 (PAYE recordkeeping guidelines) RGLA 2003 Working Time Regulations 1998</p>

Ref No.	Function Description	Retention Action	Examples of Records	Notes
4.2	<p>The process of administering employees to ensure that entitlements &amp; obligations are in accordance with agreed employment requirements</p> <ul style="list-style-type: none"> <li>Records containing superannuation information</li> </ul>	Destroy 6 years from date of last pension payment	<ul style="list-style-type: none"> <li>Medical clearance</li> <li>Letter of appointment</li> <li>Letter of acceptance</li> <li>Details of assigned duties</li> <li>Probation reports</li> <li>Medical examinations</li> <li>Personal particulars</li> <li>Educational qualifications</li> <li>Declarations of pecuniary interests</li> <li>Secrecy undertakings</li> <li>Employment contracts</li> </ul>	Common practice
4.3	Records relating to staff working with children	Destroyed along with all Personal Files after 7 years.		RGLA 2003
4.4	<p>Leave</p> <p>All other records</p>	<p>Current and previous year</p> <p>Termination + 6 years</p>	<ul style="list-style-type: none"> <li>Unpaid leave</li> <li>Paternity leave</li> <li>Maternity leave</li> <li>Compassionate leave</li> <li>Request and approval of annual leave carried forward</li> <li>Record of annual leave</li> <li>TOIL</li> </ul>	
	<b>Employee and</b>			

Ref No.	Function Description	Retention Action	Examples of Records	Notes
	<b>Industrial Relations</b>			
4.5	Identification & development of significant directions concerning industrial matters	6 years after leaving date.	<ul style="list-style-type: none"> <li>• Generic agreements and awards</li> <li>• Negotiations</li> <li>• Disputes</li> <li>• Claims lodged</li> </ul>	Limitation Act 1980
4.6	Liaison processes of minor and routine industrial matters	Destroy 2 years after administrative use is concluded	<ul style="list-style-type: none"> <li>• Daily industrial relations management</li> </ul>	Common practice
4.7	Processing of disciplinary and grievances investigations where proved	<p>Oral Warning – 6 months Written Warning - 1 year Final Warning - 18 months</p> <p>Grievances – 1 year from resolution (including exhaustion of Employment Tribunal rights)</p> <p>The above warnings to be removed &amp; destroyed after the relevant time has 'spent'.</p> <p>Warnings Involving Children – Placed on personal file permanently</p>	<ul style="list-style-type: none"> <li>• Disciplinary</li> </ul>	Common practice
4.8	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"> <li>• Disciplinary</li> </ul>	ICO (Employment Practices) Code Section 2.13.1
4.9	Capability	12 months after confirmation of satisfactory performance in employment		Common practice

Ref No.	Function Description	Retention Action	Examples of Records	Notes
	<b>Equal Employment Opportunities</b>			
4.10	The process of investigation and reporting on specific cases to ensure that entitlements & obligations are in accordance with agreed Equal Employment Opportunities guidelines policies	Destroy <b>5</b> years after action completed		Common practice
	<b>Sickness Records</b>			
4.11	For attendance management, Health and safety and SSP	Destroy after 1 year after creation date	<ul style="list-style-type: none"> <li>• Certification of absence forms</li> <li>• Self-certification forms</li> <li>• Doctors certificate</li> <li>• Staff absence form/return</li> <li>• Sickness schedules</li> </ul>	
	<b>Occupational Health</b>			
4.12	The process of checking and ensuring the health of staff	Destroy 8 years after date of check Health surveillance reports, duration of employment plus 6 years	<ul style="list-style-type: none"> <li>• Health questionnaire</li> <li>• Medical clearance</li> <li>• Adjustment to work place</li> <li>• Restrictions</li> <li>• Recommendations</li> </ul>	Common practice
	<b>Recruitment</b>			
4.13	The selection of an individual for an	Destroy <b>1</b> year after recruitment has been	<ul style="list-style-type: none"> <li>• Advertisements</li> <li>• Applications</li> </ul>	Limitations Act 1980



Ref No.	Function Description	Retention Action	Examples of Records	Notes
	established position	finalised Successful candidate – duration of employment	<ul style="list-style-type: none"> <li>• Referee reports</li> <li>• Interview reports</li> <li>• Unsuccessful applicants</li> </ul>	
		Unsuccessful candidate – 6 months from date of appointment	<ul style="list-style-type: none"> <li>• Recruitment complaints</li> <li>• CRB disclosure – should not retain longer than necessary. In general this should be no longer than 6 months</li> <li>• Information on “hold” candidates</li> </ul>	
4.14	Psychometric testing	Destroy 12 months following recruitment	<ul style="list-style-type: none"> <li>• Evaluation reports</li> </ul>	As per external company guidelines, detailed on report
	<b>Staff Monitoring</b>			
4.15	Performance	Destroy 6 years after action completed	<ul style="list-style-type: none"> <li>• Probation reports</li> <li>• Performance plans</li> </ul>	Common practice
4.16	Process of monitoring staff leave and attendance	Destroy 3 years after action completed	<ul style="list-style-type: none"> <li>• Sick leave</li> <li>• Jury service</li> <li>• Study leave</li> <li>• Special and personal leave</li> <li>• Attendance books</li> <li>• Flexi time sheets</li> <li>• Leave applications</li> <li>• Clock on/off cards</li> <li>• Annual leave</li> </ul>	Common practice

Ref No.	Function Description	Retention Action	Examples of Records	Notes
	<b>Staff Retention</b>			
4.17	Financial reward	Destroy 7 years after action completed		Common practice All records relating to actual payments are dealt with under finance
4.18	Other strategy	Destroy 3 years after action completed		Common practice
	<b>Termination</b>			
4.19	The process of termination of staff through voluntary redundancy, dismissal and retirement	Destroy 7 years after termination  If a pension is paid then records should be destroyed 6 years after last payment of pension	<ul style="list-style-type: none"> <li>• Resignation</li> <li>• Redundancy (Section 188)</li> <li>• Dismissal</li> <li>• Death</li> <li>• Retirement</li> <li>• References</li> </ul>	Common practice
	<b>Training and Development</b>			
4.20	Routine staff training processes, not occupational health and safety or children related	Destroy 2 years after action completed	<ul style="list-style-type: none"> <li>• Course individual staff assessment</li> </ul>	Common practice
4.21	Training (concerning children)	Destroy 35 years after training completed, or last entry	<ul style="list-style-type: none"> <li>• Course individual staff assessment</li> <li>• training register</li> </ul>	Common practice
4.22	Training (occupational health and safety training)	Destroy 50 years after training completed	<ul style="list-style-type: none"> <li>• OH&amp;S training register</li> </ul>	Common practice

Ref No.	Function Description	Retention Action	Examples of Records	Notes
		Individual course assessment records should be destroyed once the training has been renewed every 3 years		
4.23	Training (materials) Requests for training and training plans	Destroy 1 year after course is superseded Current and previous 2 years	<ul style="list-style-type: none"> <li>• Staff requests</li> <li>• Managers nomination forms</li> <li>• Staff plans</li> <li>• Training agreements</li> <li>• Appraisal scheme</li> </ul>	Common practice
4.24	Training (proof of completion)	Destroy 3 years after action completed	<ul style="list-style-type: none"> <li>• Certificates</li> <li>• Awards</li> <li>• Exam results</li> </ul>	Common practice
4.25	Personal Development Review Notes	10 years	<ul style="list-style-type: none"> <li>• Personal development review notes</li> </ul>	
	<b>Appointments of Statutory Officers</b>			
4.26	Summary management systems that allow the monitoring & management of statutory officers in summary form	<b>Permanent</b> Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>• Magistrates register</li> </ul>	Common practice
4.27	The process of administering employees to ensure that entitlements & obligations are in accordance with agreed employment requirements	Destroy 6 years after departure from employment		Common practice
4.28	The appointment of an individual for a statutory	<b>Permanent</b> Transfer to place of deposit	<ul style="list-style-type: none"> <li>• Appointment Files</li> </ul>	Common practice

Ref No.	Function Description	Retention Action	Examples of Records	Notes
	position	after administrative use is concluded		
4.29	The process of selection of an individual for an statutory position	Destroy 2 years after date of appointment	<ul style="list-style-type: none"> <li>• Vacancies &amp; applications records</li> <li>• Interview notes</li> <li>• Prospective staff records</li> <li>• Registers of applicants</li> <li>• Unsuccessful applications records</li> </ul>	Common practice

## 5. Financial Management

Ref No.	Function Description	Retention Action	Examples of Records	Notes
	<b>Accounts &amp; Audit Reporting</b>			
5.1	The process that consolidates financial transactions on an annual basis for corporate reporting purposes	Destroy when cumulated into quarterly/annual reports	<ul style="list-style-type: none"> <li>• Consolidated annual reports</li> <li>• Consolidated financial statements</li> <li>• Statement of financial position</li> <li>• Operating statements</li> <li>• General ledger</li> </ul>	National Archive (3) accounting records
5.2	The process that supports and consolidates financial transactions on a periodic (less than annual) basis, superseding those from the previous period. Does not include journals and subsidiary ledgers and cash books	Destroy when cumulated into quarterly/annual reports	<ul style="list-style-type: none"> <li>• Consolidated monthly &amp; quarterly reports</li> <li>• Consolidated monthly &amp; quarterly financial statements</li> <li>• Working papers for the preparation of the above</li> <li>• Monthly accrual statements</li> <li>• Cash flow statements</li> <li>• Creditor listings and reports</li> <li>• Debtor listings and reports</li> </ul>	National Archive (3) accounting records
	<b>Financial Transactions Management</b>			
5.3	Management of the approvals process for purchase, including investigations	Destroy 7 years after the end of the financial year in which the records were created	<ul style="list-style-type: none"> <li>• Appointments &amp; delegations</li> <li>• Audit investigations</li> <li>• Arrangements for the provision</li> </ul>	National archive (3) accounting records

Ref No.	Function Description	Retention Action	Examples of Records	Notes
			of goods and/or services	
5.4	Identification of the receipt, expenditure and write offs of public monies	Destroy 6 years after the conclusion of the financial transaction that the record supports	<ul style="list-style-type: none"> <li>• Allowances</li> <li>• Work orders</li> <li>• Invoices</li> <li>• Credit card statements</li> <li>• Cash books</li> <li>• Receipts</li> <li>• Cheque counterfoils</li> <li>• Bank statements</li> <li>• Subsidiary ledgers (annual)</li> <li>• Journals (annual)</li> <li>• Vouchers</li> </ul>	National archive (3) accounting records HMRC CH15400
5.5	Process involving the provision and support for individuals using public transportation	Destroy 6 years after the conclusion of the financial transaction that the record supports	<ul style="list-style-type: none"> <li>• Applications</li> <li>• Card issue</li> <li>• Rail warrants</li> </ul>	National archive (3) accounting records
5.6	Processes that balance & reconcile financial accounts	Destroy 6 years after administrative use is concluded	<ul style="list-style-type: none"> <li>• Reconciliation</li> <li>• Summaries of accounts</li> </ul>	National archive (3) accounting records
5.7	Taxation Records	Destroy 7 years after the end of the financial year in which the records were created	<ul style="list-style-type: none"> <li>• Taxation records</li> <li>• Motor vehicle logs</li> <li>• Fringe benefits tax records</li> <li>• Group certificates</li> </ul>	
5.8	Processes involved in the collection of National Insurance Number	Destroy 2 years after the employee ceases employment	<ul style="list-style-type: none"> <li>• Notification &amp; input records</li> </ul>	
	<b>Payroll Accountable</b>			

Ref No.	Function Description	Retention Action	Examples of Records	Notes
5.9	Processes relating to payment of employees	Destroy 6 years after the conclusion of the financial transaction that the record supports	<ul style="list-style-type: none"> <li>• Authority sheets</li> <li>• Payroll deduction authorities</li> <li>• Payroll disbursement</li> <li>• Employee pay records</li> <li>• Employee taxation records</li> </ul>	
5.10	<b>Non-accountable</b> processes relating to payment of employees	Destroy after administrative use is concluded	<ul style="list-style-type: none"> <li>• Summary employee pay reports</li> </ul>	
	<b>Financial Provisions Budgets and Estimates</b>			
5.11	The process of finalising local authorities' annual budget	Permanent Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>• Annual budget</li> </ul>	Common practice Only the final version of the annual budget needs to be kept
5.12	The process of developing local authorities' annual budget	Destroy 2 years after annual budget adopted by local authorities	<ul style="list-style-type: none"> <li>• Draft budgets</li> <li>• Departmental budgets</li> <li>• Draft estimates</li> </ul>	
5.13	The process of reporting which examines the budget in relation to actual revenue and expenditure	Destroy after next year's annual budget has been adopted by Local Authorities	<ul style="list-style-type: none"> <li>• Quarterly statements</li> </ul>	
	<b>Loans</b>			
5.14	The activity of borrowing money to enable a local authority to perform its functions and exercise its powers	Destroy 7 years after the loan has been repaid	<ul style="list-style-type: none"> <li>• Loan files</li> </ul>	

Ref No.	Function Description	Retention Action	Examples of Records	Notes
5.15	Summary management of loans	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>Loans registers</li> </ul>	Common practice
	<b>Housing</b>			
5.16	The process of offering financial help with welfare housing provision and maintenance	6 years from the date the records created		Limitations Act 1980
5.17	Mortgages	Last payment + 6 years if signed Last payment +12 years if sealed	<ul style="list-style-type: none"> <li>Mortgage agreements</li> <li>Correspondence</li> </ul>	Statutory
5.18	“Right to Buy”	Destroy 12 years after sale of house	<ul style="list-style-type: none"> <li>Sale documents</li> <li>Agreement concerning sale</li> </ul>	
5.19	Rent Payments	Destroy 6 years after the end of the financial year in which created	<ul style="list-style-type: none"> <li>Rent books</li> <li>Correspondence concerning payment</li> <li>Requests for payment</li> </ul>	
5.20	Home Improvement Grants	Destroy 6 years after last payment for grants under £50 000, For grants over £50 000 destroy 12 years after last payment  Where plans and detailed drawings included offer to Archivist.	<ul style="list-style-type: none"> <li>Agreement to pay loan</li> <li>Details of payments</li> <li>Correspondence relating to loan</li> </ul>	Limitations Act 1980
	<b>Business Rates / Council Tax Valuation</b>			
5.21	The valuation of domestic	Valuation lists - Permanent.	<ul style="list-style-type: none"> <li>Valuation / Rating lists</li> </ul>	Common practice



Ref No.	Function Description	Retention Action	Examples of Records	Notes
	and rateable properties within a municipal district for the purpose of local taxation.	Other documents destroy 6 years after the year in which the valuation made	<ul style="list-style-type: none"> <li>• Correspondence</li> <li>• Reports</li> </ul>	
	<b>Property History</b>			
5.22	<p>The recording of information for rateable properties identifying the person or company rated, including details of the value of the property.</p> <p>Note: Records containing accounting information primarily, and not being a source of property history, should be disposed of according to the appropriate record class within the Accounts &amp; Audit function.</p>	<p><b>Permanent.</b></p> <p>Transfer to Place of Deposit after administrative use is concluded</p>	<ul style="list-style-type: none"> <li>• Register of Rateable Properties</li> </ul>	
	<b>Business Rates / Local Taxation and Benefit Correspondence</b>			
5.23	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"> <li>• Notices</li> <li>• Objections</li> <li>• Applications</li> <li>• Correspondence</li> <li>• Rate certificates</li> <li>• Notices of acquisition and disposition</li> </ul>	Common practice

Ref No.	Function Description	Retention Action	Examples of Records	Notes
	The activity of corresponding to Benefit claimants relating to claims, change in circumstances, appeals and other related matters.		<ul style="list-style-type: none"> <li>• Rate property files</li> <li>• Correspondence</li> <li>• Appeals</li> </ul>	
	<b>Summary Assets Management</b>			
5.24	See Property Management for real property assets. See Transport Management for vehicle assets.			
5.25	Summary management reporting on the overall assets of the local authorities	6 years after disposal of item/asset	<ul style="list-style-type: none"> <li>• Schedules of acquisitions</li> <li>• Consolidated current asset reports</li> <li>• Annual reports</li> <li>• Summary of current assets</li> <li>• Asset registers</li> </ul>	National Archive (10) Central Expenditure
	<b>Asset Monitoring and Maintenance</b>			
5.26	Management systems that allow the monitoring & management of assets in summary form	Destroy 7 years after the conclusion of the financial transaction that the record supports	<ul style="list-style-type: none"> <li>• Subsidiary asset registers</li> </ul>	
5.27	Process of reporting and reviewing assets status	Destroy 2 years after administrative use is concluded	<ul style="list-style-type: none"> <li>• Routine returns and reports on asset status</li> <li>• Inventories</li> </ul>	

Ref No.	Function Description	Retention Action	Examples of Records	Notes
			<ul style="list-style-type: none"> <li>• Stocktaking</li> <li>• Surveys of usage</li> <li>• Acquisition and disposal reports &amp; proposals</li> </ul>	
5.28	The process of maintaining assets	Destroy 7 years after last action	<ul style="list-style-type: none"> <li>• Garden maintenance</li> <li>• Cleaning</li> <li>• Painting</li> </ul>	
5.29	The process of maintaining plant and equipment	Destroy 7 years after sale or disposal of asset	<ul style="list-style-type: none"> <li>• Service records</li> <li>• Plant files</li> </ul>	
	<b>Asset Acquisition and Disposal</b>			
5.30	Management of the acquisition (by financial lease or purchase) and disposal (by sale or write off) process for assets	Destroy 6 years, if under £50 000 or 12 years if over £50 000, after all obligations/entitlements are concluded	<ul style="list-style-type: none"> <li>• Legal documents relating to the purchase/sale</li> <li>• Particulars of sale documents</li> <li>• Board of survey</li> <li>• Leases</li> <li>• Applications for leases, licenses &amp; rental revision</li> <li>• Tender documents</li> <li>• Conditions of contracts</li> <li>• Certificates of approval</li> </ul>	Statutory

## 6. Property and Land Management

Ref No.	Function Description	Retention Action	Examples of Records	Notes
	<b>Property and Land Management</b>			
6.1	Reports to management on overall property of the local authority	<b>Permanent.</b> Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>• Consolidated property &amp; buildings annual reports</li> <li>• Summary of leased property</li> <li>• Summary of local authority's owned property</li> <li>• Site register</li> <li>• Register of leases</li> </ul>	Common practice
	<b>Property Acquisition and Disposal</b>			
6.2	Management of the acquisition (by financial lease or purchase) process for real property See also Conveyancing	Retain for life of property or building plus 12 years. Offer material re major/significant properties to Archivist for review	<ul style="list-style-type: none"> <li>• Plans</li> </ul>	Common practice
6.3	Management of the disposal (by sale or write off) process for real property	Destroy 15 years after all obligations/entitlements are concluded. Offer material re major/significant properties to Archivist for review	<ul style="list-style-type: none"> <li>• Legal documents relating to the sale</li> <li>• Particulars of sale documents</li> <li>• Board of Survey</li> <li>• Tender documents</li> <li>• Conditions of contracts</li> </ul>	Common practice
	<b>Property Development and Renovation</b>			

Ref No.	Function Description	Retention Action	Examples of Records	Notes
6.4	The process of managing and undertaking renovations and development of property	Permanent Transfer to place of deposit after administrative use is concluded		
6.5	Management <ul style="list-style-type: none"> <li>buildings and estates of "special interest"</li> </ul>	Permanent Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>Project specifications</li> <li>Plans</li> <li>Installation manuals</li> <li>Certificates of approval</li> </ul>	
6.6	Management <ul style="list-style-type: none"> <li>all other buildings and estates</li> </ul>	Retain for life of property or building	<ul style="list-style-type: none"> <li>Project specifications</li> <li>Plans</li> <li>Installation manuals</li> <li>Certificates of approval</li> </ul>	Common practice For <b>asbestos</b> see health and safety under <b>General Public Services</b>
6.7	The action process involved in the development and renovation of property	Destroy 7 years after the conclusion of the transaction that the record supports	<ul style="list-style-type: none"> <li>Work orders</li> <li>Tender documents</li> <li>Conditions of contracts</li> </ul>	
	<b>Leasing and Occupancy</b>			
6.8	The process of managing leased property	Destroy 15 years after the expiry of the lease	<ul style="list-style-type: none"> <li>Lease agreements</li> <li>Rental expenditure authorities</li> <li>Valuation queries</li> <li>Applications for leases, licences &amp; rental revision</li> </ul>	
6.9	The process of managing the occupancy of property	Destroy 7 years after the conclusion of the transaction that the record supports	<ul style="list-style-type: none"> <li>Requests for works, cleaning, etc.</li> </ul>	

Ref No.	Function Description	Retention Action	Examples of Records	Notes
	<b>Housing Provision</b>			
6.10	The process of managing local authority welfare housing estates	Destroy 6 years after last action	<ul style="list-style-type: none"> <li>• Stock monitoring records</li> </ul>	Limitations Act 1980
	<b>Systems Management</b>			
6.11	The internal process to develop or extend the capabilities of a system used to support the activities of the local authority	Retain for life of system then destroy		
6.12	The process to implement a system used to support the activities of the local authority	Destroy 6 years after last action	<ul style="list-style-type: none"> <li>• Implementation plan</li> </ul>	
6.13	The process to support and administer a system used to support the activities of the local authority	Destroy 6 years after last action		
	<b>Transport Management</b>			
6.14	The process of acquisition and disposal of vehicles through lease or purchase	Destroy 6 years after the disposal of the vehicle	<ul style="list-style-type: none"> <li>• Leases</li> <li>• Contracts</li> <li>• Quotes</li> <li>• Approvals</li> <li>• Fleet authorisation numbers</li> </ul>	Limitation Act 1990
6.15	The process of managing	Destroy 6 years after the sale or	<ul style="list-style-type: none"> <li>• Approvals as drivers</li> </ul>	Limitations Act 1980

Ref No.	Function Description	Retention Action	Examples of Records	Notes
	allocation & maintenance of vehicles	disposal of the vehicle	<ul style="list-style-type: none"> <li>• Allocations &amp; authorisations for vehicles</li> <li>• Maintenance</li> </ul>	
6.16	The process of recording vehicle usage	Destroy 6 years after the sale or disposal of the vehicle	<ul style="list-style-type: none"> <li>• Vehicle usage reports</li> </ul>	Limitations Act 1989
6.17	The process of recording drivers usage	Destroy 6 years after closure	<ul style="list-style-type: none"> <li>• Vehicle log book</li> </ul>	Limitations Act 1980
	<b>Insurance – Policy Management</b>			
6.18	The summary management of insurance arrangements	Permanent/Archive	<ul style="list-style-type: none"> <li>• Insurance register</li> </ul>	
6.19	The process of insuring local authority officers, property, vehicles and equipment against negligence, loss or damage	Destroy 7 years after the terms of the policy have expired	<ul style="list-style-type: none"> <li>• Insurance policies</li> <li>• Correspondence</li> </ul>	ESD LGRR
6.20	The process of renewing insurance policies	Destroy 7 years after the insurance policy has been renewed	<ul style="list-style-type: none"> <li>• Insurance policy Renewal records</li> <li>• Correspondence</li> </ul>	ESD LGRR
	<b>Insurance Claims Management</b>			
6.21	The process that records insurance claims against the local authority or local authority officers	Destroy 6 years after all obligations/entitlements are concluded (allowing for the claimant to reach 25 years of age)	<ul style="list-style-type: none"> <li>• Claims records</li> <li>• Correspondence</li> </ul>	Limitation Act 1990

## 7. General Public Services

Ref No.	Function Description	Retention Action	Examples of Records	Notes
	<b>Health and Safety – Inspections and Assessments</b>			
7.1	Process of inspecting and assessing equipment to ensure it is safe	Destroy 6 Years from record being created.	<ul style="list-style-type: none"> <li>Equipment inspection records</li> </ul>	Limitation Act 1990
7.2	Processing the geo-technical assessments of a quarry	When quarry is no longer in use consult or refer to Health and Safety Executive (HSE)		Statutory
7.3	Process of carrying out monitoring to ensure that the process is safe	Destroy 6 Years from record being created	<ul style="list-style-type: none"> <li>Monitoring results</li> </ul>	Limitation Act 1990
7.4	Process of monitoring of areas where employees and persons are likely to have become in contact with asbestos	Destroy 40 Years from last action	<ul style="list-style-type: none"> <li>Property asbestos files</li> </ul>	Control of Asbestos Regulations 2012
7.5	Process of monitoring of areas where employees and persons are likely to have come in contact with radiation	Destroy 50 Years from last action or at age 75 years whichever is the greater	<ul style="list-style-type: none"> <li>Radon monitoring</li> </ul>	Ionising Radiation Regulations 1999
7.6	Process to ensure safe systems of work	Destroy 6 years		Limitations Act 1980
7.7	Process to assess the level of risk	Destroy 6 Years from last assessment	<ul style="list-style-type: none"> <li>Risk assessment</li> </ul>	Limitations Act 1980



Ref No.	Function Description	Retention Action	Examples of Records	Notes
7.8	Processes that permit work	Destroy 6 Year from last action		Limitations Act 1980
7.9	Process that records injuries to adults	Destroy 3 Years from closure	<ul style="list-style-type: none"> <li>Accident books</li> </ul>	Reporting of Injuries Diseases & Dangerous Occurrences Regulations 2013
7.10	Process that records injuries to children	Destroy 25 Years from closure	<ul style="list-style-type: none"> <li>Accident books</li> </ul>	Limitation Act 1980
	<b>Emergency Planning</b>			
7.11	Process to develop the emergency/disaster plan for the local community	Permanent. Transfer to place of deposit after superseded	<ul style="list-style-type: none"> <li>Major Incident Plan</li> </ul>	
7.12	Process of recording the results of the test for emergency/disaster plan for the local community	Destroy 7 years after closure		
	<b>Major Incident</b>			
7.13	Activities that report on all major incidents in the local community, whether the emergency plan has been invoked or not	Permanent Transfer to place of deposit after administrative use is concluded		
7.14	Activities that report on all minor incidents in the local community	Destroy 7 years after closure		
	<b>Enforcement Certification and Prosecution Registration, Certification and Licensing</b>			

Ref No.	Function Description	Retention Action	Examples of Records	Notes
7.15	The administration of applications, registration, certification and licences in relation to local authorities' registration requirements	Destroy 6 years after registration or entitlement lapses	<ul style="list-style-type: none"> <li>• Applications for animal registration</li> <li>• Applications for registration of a business premises</li> <li>• Registers</li> <li>• Certificates of registration of: taxi drivers, beauty therapists</li> <li>• Gaming</li> </ul>	Limitation Act 1990
	<b>Prosecution</b>			
7.16	The process of prosecution or sanction of an individual or organisation for failing to comply with their legal responsibilities	Destroy 7 years from last action.	<ul style="list-style-type: none"> <li>• Prosecution/sanction files</li> </ul>	
	<b>By-Laws - Enactments</b>			
7.17	The process of making local laws	<b>Permanent.</b> Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>• Master Set of bye-laws</li> <li>• Policy Development documents</li> <li>• Correspondence</li> <li>• Submissions</li> </ul>	
	<b>By-laws - Administration &amp; Enforcement</b>			
7.18	The process of administering and enforcing bye-laws	Destroy 6 years after certificate has expired or penalty payment has been made or the matter has been finished or correspondence	<ul style="list-style-type: none"> <li>• Applications and certificates</li> <li>• Permits</li> </ul>	Limitation Act 1980 ESD Local Government Record Retention

Ref No.	Function Description	Retention Action	Examples of Records	Notes
		on the matter has ceased	<ul style="list-style-type: none"> <li>• Licences</li> <li>• Infringement notices (Parking)</li> <li>• Correspondence</li> </ul>	
	<b>Cemeteries &amp; Crematoria</b>			
7.19	Summary management systems that record the location of burials and identity of deceased individuals	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>• Register of interments</li> <li>• Cemetery register</li> <li>• Cemetery plans</li> </ul>	ESD Local Government Record Retention The Cremation (England and Wales) Regulations 2008
7.20	The process of regulation of burials and cremations	Destroy 15 years after last action NB – if records are held electronically then paper copies can be destroyed	<ul style="list-style-type: none"> <li>• Permits</li> <li>• Applications</li> <li>• Orders</li> </ul>	Limitation Act 1990 The Cremation (England and Wales) Regulations 2008
	<b>Waste Management – Collection and Disposal of Waste</b>			
7.21	The process of arranging the collection or transportation of household waste	Destroy 3 years after last action		Environmental Protection (Duty of Care) Regulations 1991 NB – The waste management contractor must retain notes for 6 years under landfill tax legislation

<b>Ref No.</b>	<b>Function Description</b>	<b>Retention Action</b>	<b>Examples of Records</b>	<b>Notes</b>
7.22	The process of arranging the collection or transportation of controlled waste	Destroy 6 years after last action		Limitation Act 1990 ESD Local Government Record Retention
7.23	The summary management of sites used for the disposal of waste within the local authority	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded		
7.24	The process of the short-term storage of household waste	Destroy 6 years after site closure	<ul style="list-style-type: none"> <li>• Transfer sites</li> </ul>	
7.25	The process involved in managing the use, type and amount of waste to be disposed at a specific site	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>• Waste site plans</li> </ul>	ESD Local Government Record Retention

## 8. Planning and Land Use

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

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

Ref No.	Function Description	Retention Action	Examples of Records	Notes
8.8	The process of regulating the planned use of land or buildings	Destroy 15 years after closure		
8.9	The process of approving building applications in relation to listed or other significant buildings	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>• Building files</li> <li>• Plans</li> <li>• Specifications</li> <li>• Correspondence</li> <li>• Applications</li> <li>• Permits</li> <li>• Certificates</li> </ul>	
8.10	The process of approving building applications, for all other buildings	Destroy 10 years after construction completed	<ul style="list-style-type: none"> <li>• Building files</li> <li>• Plans</li> <li>• Specifications</li> <li>• Correspondence</li> <li>• Applications</li> <li>• Permits</li> <li>• Certificate</li> <li>• Objections</li> </ul>	Building Control Performance Standards 2006 ESD Local Government Record Retention
8.11	The process of inspecting building work for the purpose of insuring compliance	Destroy 10 years after the issue of a certificate of final inspection	<ul style="list-style-type: none"> <li>• Certificate of final inspection</li> <li>• Objections</li> <li>• Building Inspection records</li> <li>• Diaries</li> </ul>	Common practice

<b>Ref No.</b>	<b>Function Description</b>	<b>Retention Action</b>	<b>Examples of Records</b>	<b>Notes</b>
8.12	The process of enforcing building or land regulations	Destroy 3 years after compliance with enforcement notice		



## 9. Plant & Equipment Maintenance and Inspection

Ref No.	Function Description	Statutory Retention Period	Statutory Retention Source	Recommended Retention Period	Comments
9.1	Lifting equipment	N/A	N/A	2 years after last use	
9.2	Work equipment	N/A	N/A	Until next inspection	It is advised that these records should not be disposed of until at least 3 years after inspection
9.3	Scaffolding	N/A	N/A	3 months after dismantled	
9.4	Local exhaust ventilation examination and test reports	5 years	CoSHH	Permanently	Limitation can commence from knowledge of potential claim, not cause of it. AHL will require these records to defend industrial disease or personal injury claims.
9.5	Noise Surveys/data	N/A	N/A	Permanently	Limitation can commence from knowledge of potential claim, not cause of it. AHL will require these records to defend industrial disease or personal injury claims.
9.6	Vibration surveys/data	N/A	N/A	Permanently	Limitation can commence from knowledge of potential claim, not cause of it. AHL will require these records to defend industrial disease or personal injury claims.
9.7	Vehicle maintenance	N/A	N/A	2 years after disposal	
9.8	Electrical equipment	N/A	N/A	3 years after disposal	

Ref No.	Function Description	Statutory Retention Period	Statutory Retention Source	Recommended Retention Period	Comments
9.9	Access equipment	N/A	N/A	Until next inspection	It is advised that these records should not be disposed of until at least 3 years after inspection