

Subject:	Retention and Disposal Policy	Status:	For Publication
Report to:	Overview and Scrutiny	Date:	15 th January 2024
Report of:	Head of Legal (Monitoring Officer)	Lead Member:	Environment and Corporate Services
Key Decision:	<input type="checkbox"/> Forward Plan <input type="checkbox"/>	General Exception <input type="checkbox"/>	Special Urgency <input type="checkbox"/>
Equality Impact Assessment:	Required:	No	Attached: No
Biodiversity Impact Assessment:	Required:	No	Attached: No
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1. RECOMMENDATION(S)

- 1.1 That Overview and Scrutiny consider the draft Retention and Disposal Policy and its related schedule and make recommendations to Cabinet.

2. EXECUTIVE SUMMARY

The Retention and Disposal Policy and related schedule has been refreshed and aims to:

- Set out limits for the retention of personal data and to ensure that those limits, as well as further data subject rights to erasure, are complied with;
- Ensure that the Council complies fully with its obligations and the rights of data subjects under Data Protection Legislation;
- Ensure that excessive amounts of data are not retained by the Council and to improve the speed and efficiency of managing data.

3. BACKGROUND

- 3.1 The Local Government Act 1972, requires local authorities to have “proper arrangements in place” to deal with Council records. Rossendale Borough Council is fully committed to ensure compliance with the objectives and obligations of the General Data Protection Regulation 2016 (GDPR) and the Data Protection Act 2018 (DPA). The legislation regulates the way in which personal information about individuals, whether held on computer or in a manual filing system, is obtained, stored, used and disclosed. The legislation grants rights to individuals to see the data stored about them, to require modification of the data if it is wrong and, in certain cases, to compensation. The provisions amount to a right of privacy for the individual.
- 3.2 The Council’s current Retention and Disposal Policy has been in place for several years (Appendix 1), however, as technology has developed, legislation has changed, and the areas of work undertaken by the Council have grown, it has become necessary to review the Records Retention and Disposal Policy, to ensure that it remains fit for purpose and complies with legislative requirements. The updated Retention and Disposal Policy is appended at Appendix 2.
- 3.3 The Council should define its procedures for the disposal and destruction of information. This should include, but not be limited to, identification and authorisation procedures and the roles and responsibilities of members of staff and third parties.

4. DETAILS

- 4.1 The Council recognises that its records are an important public asset and are a key resource to accountability and effective operation. The revised policy ensures that the Council is able to minimise data retention where possible and assists in setting out procedures to determine how and when to dispose of personal data. Additionally, having a well-managed and enforced data retention policy in place can help to reduce the amount of excessive, and often redundant, information stored on the Council's servers.
- 4.2 The revised policy sets out where and how personal data is held, provides a brief overview of Data subjects' key rights under data retention, and a summarised overview of the various technical and organisational protection measures that the Council should enforce under data retention. It also sets out the roles and responsibilities for ensuring that data retention periods are enforced.
- 4.3 This policy governs and ensures compliance with the newly drafted Rossendale Borough Council's Data Retention Schedule. The revised retention schedule layout combines all Service Retention periods which were previously captured in separate schedules and policies and includes a requirement to set out what action is taken after the retention period has ended. These actions are either to destroy, anonymise or archive under certain conditions. The revised schedule layout, with inclusion of set actions, should aid in the enforcement of retention periods and satisfies the audit requirement to identify and record information that is archived by the Council.
- 4.4 The review of the Retention and Disposal Policy has been undertaken in consultation with service managers across all departments to ensure that all work streams are incorporated. In addition, the review has been undertaken to reflect requirements in the GDPR and DPA which require that records containing personal data are not kept longer than necessary for their lawful purpose.
- 4.5 It is proposed that any future minor amends will be delegated to the Data Protection Officer in consultation with Lead Member. Light touch reviews will continue as necessary with any further major changes being reported back to Cabinet.

5. RISK

All the issues raised and the recommendation(s) in this report involve risk considerations as set out below:

- Failing to comply with the storage limitation and closely related data minimisation and accuracy principles can lead to substantial fines that would have a high impact on the Council.
- There may be additional reputational implications if the Information Commissioner's Office were to investigate the council following a failure to comply with UK GDPR principles regardless of the final decision.

6. FINANCE

There are no direct financial implications arising out of this report.

7. LEGAL

The Council is under an obligation to ensure it complies with UK data protection law, and the adoption of this policy strengthens the Council's compliance with the relevant data protection legislation.

Records Retention and Disposal is key to good information governance. Providing clear timescales to staff and customers as to how long their data and other Council information is held ensures compliance with relevant legislation including the GDPR, DPA, FOIA and EIR. A policy setting out appropriate timescales and legal justification for retention periods, is necessary to demonstrate compliance with legislation, and reduces the risk of legal challenge, from information being held unlawfully.

8. POLICY AND EQUALITIES IMPLICATIONS

The amended policy has been prepared in consultation with all service area managers and Corporate Management Team. There are no equality implication arising out of this report.

9. REASON FOR DECISION

The adoption of this updated policy will further enhance the Council's compliance with the UK GDPR and Data Protection Legislation and ensure compliance with all relevant legislation.

Background Papers	
Document	Place of Inspection
Current Policy	Attached as Appendix 1
Amended Policy	Attached as Appendix 2

RETENTION & DISPOSAL SCHEDULE GUIDELINES

1. Scope of the Guidelines

- 1.1.1 These guidelines and Retention and Disposal Schedule are intended to support the Council in the areas of Data Protection, Freedom of Information and the Local Government Act. They are based on the Records Management Society for Great Britain criteria, and by complying with statutory requirements and local practices.
- 1.1.2 The Guidelines are intended to cover the continuum of records and information from creation through to destruction or for retention for historical or research purposes.
- 1.1.3 Records sentenced for destruction under the Guidelines may be destroyed in accordance with the provisions of the Guidelines. Backup copies stored on alternative media (server/microfilm/paper) should also be destroyed. This is vital to ensure compliance with the requirements of Data Protection and Freedom of Information legislation.
- 1.1.4 The local authority or the agency acting for it should hold notification of the records destroyed in accordance with the Guidelines on its behalf. *See Section 2.10 of the disposal schedule for how long these should be kept.*
- 1.1.5 Records for permanent preservation should be passed to the local Record Office (*refer to Records Management Manual*)

1.2.0 Limitation of Scope

- 1.2.1 These guidelines should only be used for the disposal of common functions and housekeeping records.

1.3.0. Objectives of the Retention Guidelines

The aims of the Guidelines are to:

- Assist in identifying records that may be worth preserving permanently as part of a local authority's archives.
- Prevent the premature destruction of records that need to be retained for a specified period to satisfy legal, financial and other requirements of public administration.
- Provide consistency for the destruction of those records not required permanently after specified periods.
- Help to improve Records Management practices within the Council.

1.4.0. Transfer of Records to County Records or Storage

- 1.4.1 Records **no longer required for administrative use** may still retain sensitive information. Your Records Manager should be informed of sensitivity at the time of transfer of the material to storage, and an appropriate closure period

agreed. The closure period should comply with Freedom of Information legislation and the authority's policy.

- 1.4.2 The Data Protection Act provides an exemption for information about identifiable living individuals that is held for research, statistical or historical purposes to be held indefinitely, provided specific requirements are met. It is the responsibility of the Records Manager to ensure that this is so.
- 1.4.3 Divisions wishing to transfer permanent records to archival custody should contact the Archivist/Local History Officer at the County Record Office/Archive for further information on transfer procedures. The identification of classes of records here as suitable for archives are for guidance only.
- 1.4.4 Records identified in this schedule as '**permanent**' are marked '**Offer to Archivist**'. The Archivist may choose to select a sample of the records for permanent preservation in the archives; the remainder should be destroyed as specified in the Guidelines. The sample may be random, selective or purposeful.
- 1.4.5 '**Offer to Archivist for review**' is used to indicate record classes where the Archivist will not usually be interested in retaining the class of records, but may wish to retain those concerning high profile or controversial policies/projects.

1.5.0 Enactment of Standard

- 1.5.1 As there is no legal basis for enforcement and support of these Guidelines the Council needs to ensure that the actions shown in the Guidelines are ratified internally.
- 1.5.2 This Retention and Disposal Schedule has been authorised and approved by Full Council on 16th December 2004 and an updated Version has been adopted by Cabinet on 25th November 2009.

1.6.0 Destruction of Records

- 1.6.1 **Whenever there is the possibility of litigation, the records and information that are likely to be affected should not be amended or disposed of until the threat of litigation has been removed.**
- 1.6.2 *When records identified for disposal in the Guidelines are destroyed, a register of such records needs to be kept. For records not covered by the Guidelines contact Legal Services, Audit or suitable experienced sources for further advice.*
- 1.6.3 *It is not sufficient to document that a quantity of records had been destroyed on a certain date. Enough details should be retained to identify which records have been destroyed.*
- 1.6.4 *Unless otherwise stated, paper documents are disposed of as follows:-*

Confidential documents are shredded and there is a confidential waste collection.

Public documents which do not contain confidential information are disposed of by way of a normal waste collection.

Paper documents should be recycled wherever possible.

1.7.0 Standard Operating Procedure (SOP)

- 1.7.1 There are some records that do not need to be kept at all; Standard Operating Procedure defines types of records which staff may routinely destroy in the normal course of business. However, the retention and disposal schedule may contain reference and instructions referring to them.
- 1.7.2 SOP usually applies to information that is duplicated, unimportant or only of short-term facilitative value. Unimportant records or information for example 'with compliments' slips, trivial e-mail, working papers which lead to a final report
- 1.7.3 Duplicated and superseded material such, drafts, forms, address books may be destroyed under SOP. Electronic copies of documents where a hard copy has been printed and filed.
- 1.7.4 SOP should not be applied to records or information that can be used as evidence — to prove that something happened. If you are in doubt about what information is required consult with your legal unit.

1.8.0 Reviewing the Schedule

- 1.8.1 This Guideline prescribes minimum and permanent retention periods and will be reviewed at regular intervals.

Part 2. Explanation of Retention Guidelines Headings

These Retention Guidelines are divided into sections of administrative functions that are commonly undertaken by local government.

2.1.0 Reference number

2.1.1 The function or entry reference number provides citation and ease of reference.

2.2.0 Function

2.2.1 The name of each function is specified in this entry. This relates to a group of records that perform the same activity.

2.3.0 Function Description

2.3.1 The Schedule provides notes that define each function in terms of related activities.

2.3.2 The Schedule may also include instructions or guidelines relating to weeding, sampling disposition provisions, information on duplication of record content in other classes and cross-references to other entries within the Schedule.

2.4.0 Retention Period

2.4.1 This entry provides the archival status of each process being either permanent or temporary. In relation to the temporary status of records the entry also provides a retention period or sentence specifying how long the records should be kept prior to destruction and the activity, transaction or event to which the retention period or sentence should be tied.

2.5.0 Examples of Records

2.5.1 This section provides common examples of the type of records included within the particular function. This list is not exhaustive and it is expected there will be additions and changes to the Schedule as the Council advances its records structure.

2.6.0 Reason/Notes

2.6.1 This indicates if the retention action is common practice or statutory.

2.7.0 Glossary of terms

- **Administrative Use.** When business use has been ended or the file has been closed.
- **Closure.** ‘ Destroy ‘x’ years from closure ‘. A record/file is closed when it ceases to be active. After closure, no new papers/information should be added to the record.
- **Closure period.** Specified period of time during which the record is subject to restrictions on provision of access to staff and/or the public may be dictated by statutory requirements or by the authority’s policy. Any closure period should comply with current legislation on access to

local government information - including the Data Protection and Freedom of Information Acts.

- **Common practice.** Standard practice followed by those local authority records managers who are members of the Records Management Society.
- **Last action.** ' Destroy 'x' years after last action'. Date of most recent amendment! addition / deletion of information.
- **Permanent.** Records which must be kept indefinitely [or for approximately 100 years] for legal and/or administrative purposes, and/or are of enduring value for historical research purposes and so suitable for transfer to the authority's archive or place of deposit.
- **Place of deposit.** Usually in the Council's file storage places as determined by each department.

RETENTION AND DISPOSAL SCHEDULE

Approved by Council on 16th December 2004

Version 2 – Adopted by Cabinet on 25th November 2009.

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Democratic Processes

Ref No	Function Description	Retention Period	Examples of Record	Reason
	Electoral Services			
1.1	Preparation Summary certification of those eligible to vote	Permanent until superseded. Destroy Paper copies after 12 months Offer to Archivist after 10 years.	<ul style="list-style-type: none"> • Postal/Proxy application forms • Annual Form A's and Rolling Registration Forms and • Register of Electors 	Statutory (Representation of the Peoples Act 1983) Common practice
1.2	Voting (Local)	Destroy 12 months from date of election	<ul style="list-style-type: none"> • Ballot papers (and any other material) • Marked copies of the Register 	Statutory Rule 52 LEPAR 2006/ Reg 91 RPR 2001
1.3	Voting (Parliamentary)	Pass to Clerk of the Crown	<ul style="list-style-type: none"> • Ballot papers (and any other material) 	Statutory Rule 52 LEPAR 2006/ Reg 91 RPR 2001
1.4	Voting (European)	Destroy 12 months after date of Election	<ul style="list-style-type: none"> • Ballot Papers (and any other material) 	Statutory Rule 52 LEPAR 2006/ Reg 91 RPR 2001
1.5	Voting (Referendum)	Pass to Central Government	<ul style="list-style-type: none"> • Ballot papers (and any other material) 	Statutory (RPA 1983)

Democratic Processes

Ref No	Function Description	Retention Period	Examples of Record	Reason
1.6	Results Declaration of results (local elections only)	Destroy 12 months from date of election	<ul style="list-style-type: none"> • Ballot Paper Accounts • Election Notices 	Statutory Rule 52 LEPAR/ Reg RPR 2001
1.7	Directions/advice for Procedures	Permanent until superceded	<ul style="list-style-type: none"> • Legislation • EC Circulars • Government Circulars 	
1.8	Candidates Candidates Summary of Election Expenses — Local and Parliamentary	Return to Candidates (if requested) or destroy 2 years from the date of receipt	<ul style="list-style-type: none"> • Candidates Election Expenses 	Statutory (RPA 1983) Section 89
1.9	Candidates Candidates Summary of Election Expenses — European	Political Party returns — pass to Sec of State. Individual Candidates returns destroy after 12 months	<ul style="list-style-type: none"> • Candidates Election Expenses 	Statutory Sec 82 PPE & R Act 2000
1.10	Candidate details	Destroy 6 months from date of election	<ul style="list-style-type: none"> • Candidates nomination papers and consent to nomination forms 	Statutory— (RPA 1983) Rule 52 LEPAR NB. Only open for inspection after close of poll & up till day of election (Rule 11 LEPAR 2006)

Democratic Processes

Ref No	Function Description	Retention Period	Examples of Record	Reason
	Council and Committee Meetings			
1.11	The process of preparing business for meetings of the Council, Cabinet, Committees/Sub-Committees, and Neighbourhood Forum Meetings	Permanent Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Minute Books • Agendas and Reports • Background papers <p>(Meetings of the Council or the Cabinet or any Committees/Sub Committees of the Council)</p>	<p>Common Practice/Access to Local Government (Access to Information) Act 1985</p> <p>Minutes should be held in perpetuity. Reports and background documents form part of the minutes and should therefore be retained for a period of 6 years</p>
1.12	Minute taking	Destroy after date of confirmation of the minutes	<ul style="list-style-type: none"> • Draft/rough minutes 	Common practice

Democratic Processes

Ref No	Function Description	Retention Period	Examples of Record	Reason
	Partnership, Agency and External Meetings			
1.13	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. Transfer to place of deposit after administrative use is concluded.	<ul style="list-style-type: none"> • Documents establishing the committee • Agendas • Minutes • Reports from the Council • Supporting documents such as Council briefing and discussion papers 	Common Practice
1.14	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 3 years after last action	<ul style="list-style-type: none"> • Documents establishing the committee • Reports • Recommendations • Supporting documents such as briefing and discussion papers. 	Common Practice
	Process of preparing honours submission.	Destroy 5 years after last action	<ul style="list-style-type: none"> • Honours nomination forms • Covering documentation • Letters of support • Referral for comment from Lord Lieutenant. 	Common Practice
1.15	Appointment to Outside Bodies The process of undertaking representation of the local authority – local authority representatives	Destroy 3 years after last action	<ul style="list-style-type: none"> • Appointment to outside organizations and charitable bodies. 	

Management and Administration

Ref No	Function Description	Retention Period	Examples of Record	Reason
	Corporate Planning and Reporting			
2.1	The corporate planning and reporting activities of local authorities	Destroy 3 years expiry	<ul style="list-style-type: none"> • Corporate Plans • Strategy Plans • Business Plans • Annual Reports 	Common Practice
2.2	The process of preparing business for strategic consideration and making the record of discussion, debate and resolutions	Destroy after 2 years	<ul style="list-style-type: none"> • Management Team Minutes 	Common Practice
2.3	<p>Statutory returns</p> <p>The process of preparing information to be passed on to central government as part of statutory requirements</p>	Destroy 1 year after audited	<ul style="list-style-type: none"> • Reports to central government <ul style="list-style-type: none"> • Housing Subsidy Claim • HRA • QRC (Council Tax) • CTB (Council Tax) 	Common Practice
2.4	<p>Policy, Procedures, Strategy and Structure</p> <p>Activities that develop policies, procedures, strategies and structures for the local authorities</p>	Destroy 3 years after expiry	<ul style="list-style-type: none"> • Policy, procedure, precedent, instructions • Organisation charts • Records relating to policy implementation and development • Asset management plan • Community strategy • Community plan • Community safety plan 	Common Practice

Management and Administration

Ref No	Function Description	Retention Period	Examples of Record	Reason
2.5	The process of monitoring and reviewing strategic plans, policies or procedure to assess their compliance with guidelines	Destroy 3 years from closure		Common Practice
2.6	<p>Public Consultation</p> <p>The process of consulting the public and staff in the development of significant policies of the local authority</p>	<p>Destroy 3 years from closure</p> <p>5 year for survey results</p> <p>1 year for questionnaires</p> <p>Personal Information on database — keep up to date, destroy when no longer needed.</p>	<ul style="list-style-type: none"> • General files relating to operation of the People’s Panel and other consultation activities. • Survey results — peoples Panel and other surveys e.g. BVPI • Quality of Life Survey • User Satisfaction Survey • Stock Transfer • Feedback Panel questionnaires (survey forms). • Database of Panel Members 	<p>Common Practice</p> <p>Common Practice</p> <p>Data Protection Act 1998.</p>

Management and Administration

Ref No	Function Description	Retention Period	Examples of Record	Reason
2.7	The process of consulting the public and staff in the development of minor policies of the local authority	Destroy 1 year from closure		Common Practice
2.8	<p>Information Management</p> <p>The activity whereby standards, authorities, restraints and verifications are introduced and maintained to manage information effectively</p>	<p>Permanent. Offer to Archivist.</p> <p>Transfer to place of deposit after administrative use is concluded,</p>	<ul style="list-style-type: none"> • Classification schemes • Registers • Indexes • Authorised lists of file headings 	Common Practice
2.9	The management of collections of records transferred to the archives	<p>Permanent. Offer to Archivist.</p> <p>Transfer to place of deposit after administrative use is concluded.</p>	<ul style="list-style-type: none"> • Accession registers • Depositor files 	
2.10	The process that records the disposal of records	Destroy 12 years after last action	<ul style="list-style-type: none"> • Disposal certificates 	Common Practice! Based on Limitation Act
2.11	<p>Enquiries and Complaints</p> <p>The management in summary form of enquiries and complaints directed to Council</p>	Destroy 1 year after closure	<ul style="list-style-type: none"> • E.mail • Indexes • letters • Registers 	Common Practice

Management and Administration

Ref No	Function Description	Retention Period	Examples of Record	Reason
2.12	The management of enquiries, submissions and complaints which result in significant changes to policy or procedures	Destroy 1 year after closure	<ul style="list-style-type: none"> • Reports • Returns • Correspondence 	Common Practice
2.13	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 	Common Practice
2.14	The management of routine responses on council actions, policy or procedures	Destroy 1 year after administrative use if concluded	<ul style="list-style-type: none"> • Printed material • Form letters 	Common Practice
2.15	<p>Quality and performance management</p> <p>The process of monitoring or reviewing the quality, efficiency, or performance of a local authority service or unit</p>	Destroy 1 year after administrative use is concluded	<ul style="list-style-type: none"> • Best Value Review 	Common Practice
2.16	The process of assessing the quality, efficiency, or performance of a local authority service or unit	Destroy 1 years after administrative use is concluded	<ul style="list-style-type: none"> • Assessment form 	Common Practice

Management and Administration

Ref No	Function Description	Retention Period	Examples of Record	Reason
	Public Relations			
2.17	Publications The process of designing setting information for publication	Destroy 2 years from last action		Common Practice
	Media Relations			
2.18	Process of interaction with the media.	Destroy 3 years from closure.	<ul style="list-style-type: none"> • Press releases • Press inquiries • Photographs • Press cuttings 	Common Practice
2.19	Public Relations general	Destroy 2 years from closure	<ul style="list-style-type: none"> • The process of providing the Public Relations service 	Common Practice
2.20	Marketing The process of developing and promotion of local authorities campaigns and events	Destroy 1 year from closure.		Common Practice
2.21	Civic and Royal Events The recording of ceremonial events and civic occasions	Permanent. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Visitor's book • Audio tapes • Video tapes • Photographs 	Common Practice

2.22	The process of organising a ceremonial event or civic occasions	Destroy 1 year after administrative use is concluded	• Mayors “At Home”	
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Housing Provision

Ref No	Function Description	Retention Period	Examples of Record	Reason
3.1	The registration of individuals housing applications	Permanent.	<ul style="list-style-type: none"> • Council housing register 	
3.2	The process for applying for council housing (Unsuccessful applications only, successful applications will generally be placed on the tenancy file)	Destroy 7 years after closure	<ul style="list-style-type: none"> • Council housing application forms and supporting material • Application for transfer of tenancy and supporting papers 	
3.3	The process for managing the tenancy of an individual tenant	Destroy 12 years after termination of tenancy	<ul style="list-style-type: none"> • Correspondence re tenancy • Tenancy files • Council housing application forms and supporting material • Application for transfer of tenancy and supporting papers Application for emergency housing or referral from another agency 	<p>NOTE: These may need to be kept for a longer period of time in order to prove that the tenancy was actually housed properly by the authority</p>

Housing Provision

Ref No	Function Description	Retention Period	Examples of Record	Reason
3.4	The process of the allocation and management of welfare housing by the local authority and the associated issues of homelessness	Destroy 12 years after closure of homeless! housing advice enquiry including associated records concerning temporary accommodation,	<ul style="list-style-type: none"> • Homeless application/enquiry forms and supporting material. • Inter authority homeless referrals • Tenancy Relations case enquiries and supporting information • Records of households in temporary accommodation. • Social Needs Panel casework records • Racial Harassment case records • Closed case summary sheets • Housing Association nomination records • National mobility scheme records 	
3.5	Administration of homelessness and housing advisory services by reception	Destroy 1 year after the conclusion of the financial year to which the records relate.	<ul style="list-style-type: none"> • Appointment diary 	

Housing Provision

Ref No	Function Description	Retention Period	Examples of Record	Reason
3.6	The process of collating statistics concerning the work of the Housing Advisory Service for a range of internal and external reports and returns,	Destroy 7 years after the year end to which the statistics relate.	<ul style="list-style-type: none"> • Homelessness returns to ODPM • Contribution to HIP and CIPFA returns • EU accession treaty and B&B usage reports 	
3.7	The management and administration of temporary accommodation and removal and storage of clients belongings/furniture	Destroy 7 years after the conclusion of the financial year to which the records were created.	<ul style="list-style-type: none"> • Rent records • Management payments to external providers of temporary accommodation • Orders and invoices for goods and services associated with the provision of temporary accommodation • As above concerning storage obligations. 	
3.8	As above regarding Warden staff	Destroy two years after action completed	<ul style="list-style-type: none"> • Time Sheets/ sleeping in /overtime claims 	

Housing Provision

Ref No	Function Description	Retention Period	Examples of Record	Reason
3.9	Right to Buy - (also see 6.15) Role of Housing Advice in the receipt and administration of right to buy applications	Destroy 12 years after sale completed	<ul style="list-style-type: none"> • Request for valuations and Valuation sheets • Tenants notices of Intention • Sale notices 	
3.10	Right to buy- Administration- sources of information and outcomes of applications	Permanent	<ul style="list-style-type: none"> • Property register • Ledgers of property sold and RTB applications 	
3.11	The planning, delivery, management and improvement of services	Destroy three years after the end of the financial year to which the record relates to.	<ul style="list-style-type: none"> • Homelessness strategy and review • Service delivery plan • Homelessness directory • Single Homeless strategy • Service Improvement Plan of advice services 	
3.12	Home Improvement Grants	Destroy 15 years after last payment	<ul style="list-style-type: none"> • Estimates of Work • Enquiry Form • Completion Certificate • Builders Accounts • Details of Payments 	Statutory

Ref No	Function Description	Retention Period	Examples of Record	Reason
	All Private Sector Renewal Schemes including Enveloping and Block Schemes	Destroy after 15 years	<ul style="list-style-type: none"> • Contract Documents • Tendering Documents • Specification of works • Pricing Info 	Statutory
	Other Private Sector Renewal Functions including Empty Homes Policy and Landlord Accreditation.	Destroy after 5 years	<ul style="list-style-type: none"> • Correspondence • Property Inspection Report s • Accreditation Certificates • Landlord portfolio details 	Common Practice

Legal and Contracts

Ref No	Function Description	Retention Period	Examples of Record	Reason
4.1	<p>Litigation</p> <p>The process of managing, undertaking or defending for or against litigation on behalf of the local authority</p>	<p>Destroy 6 years after closure of file.</p> <p>Major litigation – precedent case – offer to Archivist.</p>	<ul style="list-style-type: none"> • Criminal case file • Insurance Claims * • Civil case file <p>* see reference 7.15</p>	<p>Sec. 2 & Sec.11 Limitations Act 1980</p>
4.2	<p>Advice</p> <p>The process of providing legal advice on law and practice.</p>	<p>Destroy 6 years after closure of file.</p>	<p>All Council business etc such as:-</p> <ul style="list-style-type: none"> • Housing • Planning • Community Safety 	<p>Common Practice</p>
4.3	<p>Agreements</p> <p>Process of agreeing terms between organisations</p> <p>Note: this does not include contractual agreements</p>	<p>Destroy 6 years after agreement expires or is terminated (but note may be longer if grant conditions require it).</p>	<ul style="list-style-type: none"> • Partnership Agreements • Service Level Agreements • Contracts 	<p>Common Practice</p>
4.4	<p>Conveyance (see also Property Acquisition and Disposal)</p> <p>The process of changing ownership of land or property.</p>	<p>Destroy 12 years after registration of title.</p>	<ul style="list-style-type: none"> • Conveyancing files 	<p>Sec. 15 Limitation Act 1980</p>

Legal and Contracts

Ref No	Function Description	Retention Period	Examples of Record	Reason
4.5	<p>Contracts and Tendering</p> <p>The process of calling for expressions of interest</p>	<p>Destroy 2 years after date of calling expires for unsuccessful parties and 12 years for the successful party.</p>	<ul style="list-style-type: none"> • Expressions of Interest 	<p>Common Practice/ Limitation Act 1980</p>
4.6	<p>Specification and Contract Development</p> <p>The process involved in the development and specification of a contract</p>	<p><u>Ordinary Contracts</u> Destroy 6 years after the terms of contract have expired</p> <p><u>Contracts under Seal</u> Destroy 12 years after the terms of contract have expired.</p>	<ul style="list-style-type: none"> • Tender specification 	<p>Sec.5 Limitation Act 1980</p> <p>Sec.9 Limitation Act 1980</p>
4.7	<p>Tender Issuing and Return</p> <p>The process involved in the issuing and return of a tender.</p>	<p>Destroy 1 year after start of contract</p>	<ul style="list-style-type: none"> • Opening notice • Tender envelope 	<p>Common Practice</p>
4.8	<p>Evaluation of Tender</p>	<p><u>Ordinary Contracts</u> Destroy 6 years after the terms of contract have expired.</p> <p><u>Contracts under Seal</u> Destroy 12 years after the terms of contract have expired.</p>	<ul style="list-style-type: none"> • Evaluation criteria 	<p>Sec 5 Limitation Act 1980</p> <p>Sec 8 Limitation Act 1980</p>

Legal and Contracts

Ref No	Function Description	Retention Period	Examples of Record	Reason
4.9	Successful tender document	<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 	Sec 5 Limitation Act 1980 Sec 8 Limitation Act 1980
4.10	Unsuccessful tender documents	Destroy 1 year from tender return date	<ul style="list-style-type: none"> • Tender documents • Quotations 	
4.11	Post Tender Negotiation The process in negotiation of a contract after a preferred tender is selected	<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"> • Clarification of contract • Post tender negotiation 	Sec. 5 Limitations Act 1980 Sec. 8 Limitations Act 1980
4.12	Awarding of Contract The process awarding of 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"> • Signed contract 	Statutory Sec. 8 Limitations Act 1980

Legal and Contracts

Ref No	Function Description	Retention Period	Examples of Record	Reason
4.13	<p>Contract Management</p> <p>Contract operation and monitoring</p>	<p><u>Ordinary Contracts</u> Destroy 6 years after the terms of contract have expired</p> <p><u>Contracts Under Seal</u> Destroy 12 years after the terms of contract have expired</p>	<ul style="list-style-type: none"> • Compliance reports • Performance reports 	<p>Sec. 5 Limitations Act 1980</p> <p>Sec. 8 Limitations Act 1980</p>
4.14	<p>Management and amendment of contract</p>	<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 	<p>Sec.5 Limitations Act 1980</p> <p>Sec. 8 Limitations Act 1980</p>
4.15	<p>Tenancy Agreements</p> <p>The process of awarding tenancies in public sector housing</p>	<p>a) <u>Ordinary Tenancy</u> Destroy 6 years after the terms of agreement have expired.</p> <p>b) <u>Tenancy under Seal</u> Destroy 12 years after the terms of agreement have expired.</p>	<ul style="list-style-type: none"> • Signed tenancy agreements • Sealed tenancy agreements 	<p>Sec.5 Limitations Act 1980</p> <p>Sec. 8 Limitations Act 1980</p>

Note: Halsburys Law of England Vol. 28 para. 882 defines a contract under seal as a “speciality”.

Halsburys Statutes Vol.27 page 942. S.8 Limitations Act 1980 states actions for specialties limited to 12 years. It now also includes actions under Contract (Rights of Third Parties) Act 1999.

Legal and Contracts

Ref No	Function Description	Retention Period	Examples of Record	Reason
4.16	Bye-Laws Enactment The process of making local laws	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded.	<ul style="list-style-type: none">• Master set of bye-laws• Policy development documents• Correspondence• Submissions	

Human Resources

Ref No	Function Description	Retention Period	Examples of Record	Notes/comments/ Reason
5.1	<p>Personnel General Administration</p> <p>Record limited information about employees and posts including names, date of births, post(s) and dates held, start/finish dates, summary work histories, post histories etc.</p>	<p>Permanent (transferred to archive once administrative use has concluded),</p>	<ul style="list-style-type: none"> • Establishment records — staff registers, employee history cards, variations register. • Records of decisions taken by HR Manager under delegated powers 	<p>Common Practice Internal Audit requirement</p> <p>Internal Audit requirement</p>
5.2	<p>Recruitment and Selection</p> <p>The selection of an individual for an established position</p>	<p>Destroy 6 months after closing date/interview</p>	<ul style="list-style-type: none"> • Post Details – Job Description, Person Specification, Advertisement Reference • Unsuccessful Application forms • Shortlisting interview notes etc 	<p>Common Practice (retain for dispute resolution)</p>
5.3	<p>Equal Employment Opportunities Monitoring</p> <p>The process of investigating and reporting in accordance with Equal Employment Opportunities guidelines and policies.</p>	<p>Destroy 6 months after close/interview when summary is completed</p> <p>Permanent. Anonymised summaries.</p> <p>Permanent</p>	<ul style="list-style-type: none"> • Equal Opportunity monitoring forms • Equal Opportunities Database Summary • Current Employees 	<p>Required by law for monitoring and comparison.</p>

Human Resources

Ref No	Function Description	Retention Period	Examples of Record	Notes/Comments/Reason
5.4	<p>Criminal Records Bureau Check — when required (Staff working with Children or vulnerable adults)</p>	<p>Destroy 6 months after issue date</p> <p>Permanent — retain on Personnel file</p>	<ul style="list-style-type: none"> • CRB Disclosure document • CRB Record of Disclosure having been obtained 	<p>Requirement under CRB Code of Practice</p> <p>Permitted under CRB code of Practice</p>
5.5	<p>Employment Records The process of administering employees to ensure that entitlement and obligations are in accordance with agreed employment requirements</p>	<p>Retain on Personnel file — Destroy 6 years after date of employment</p> <p>Termination + 25 years</p> <p>Destroy 2 years after leave has been taken</p>	<ul style="list-style-type: none"> • Application Form • Job Description • Job Specification • Medical Clearance Letter of Appointment/ Acceptance • Probation report • Personal particulars • Qualifications • Declaration of pecuniary interests (also see Register under ...?) • Employment Contracts • Records of Staff working with Children • Leave and Attendance Records – all leave taken (not just annual leave) 	<p>Common Practice</p>

Human Resources

Ref No	Function Description	Retention Period	Examples of Record	Reason
5.6	<p>Employee & Industrial Relations</p> <p>Processing of disciplinary and grievances</p>	<p>Oral Warning</p> <p>Destroy 6 months after date of issue –</p> <p>Destroy 1 year after date of issue</p> <p>Destroy 18 months after date of issue</p> <p>The above warnings are to be removed and destroyed after relevant time is “spent”</p> <p>Placed on Personnel file permanently</p> <p>Destroy immediately after the grievance has been found to be /have been unfounded, or after appeal</p>	<ul style="list-style-type: none"> • Disciplinary Records – includes records of investigation, statements, interview notes etc • Formal Oral Warning • Written Warning • Final Warning • Warning involving Children • Disciplinary Unfounded, or after appeal • Generic Agreement (Local Agreements) 	<p>For all practical purposes this function would not be subject to records management</p> <p>Except for warnings involving Children which remain on personnel file permanently for reference purpose.</p> <p>Common Practice</p>

5.6 cont		<p>Transfer to place of deposit after administrative use is concluded</p> <p>Destroy 2 years after administrative use is concluded</p> <p>Permanent – record of tendering processes and conditions of service needed</p>	<ul style="list-style-type: none"> • Negotiations • Disputes • Claims lodged • Daily industrial relations management • Compulsory Competitive Tendering records – includes working papers, correspondence between client and contractor etc. 	<p>Common Practice</p> <p>Common Practice</p>
5.7	Occupational Health		<ul style="list-style-type: none"> • Employee medical screening records – health questionnaires, medical clearances, workplace adjustments, work restrictions, medical recommendations 	<p>Common Practice Recommended by Records Management Society – Details may be required even after employment has ended.</p>
5.8	Staff Monitoring Performance	Destroy 5 years after action is completed.	<ul style="list-style-type: none"> • Performance Plans • Performance Monitoring 	Common Practice
5.9	Training & Development Routine staff training processes	Destroy 2 years after action completed.	<ul style="list-style-type: none"> • Course individual staff assessment 	

Financial Management

Ref No	Function Description	Retention Period	Examples of Record	Reason
	Accounts and Audit			
	Reporting			
6.1	The process that consolidates financial transactions on an annual basis for corporate reporting purposes	Permanent. Offer to Archivist, Transfer to place of deposit after administrative use is concluded after 6 years	<ul style="list-style-type: none"> • Consolidated annual reports • Consolidated financial statements • Statement of financial position • Operating statements • General ledger 	Permanent “ “ Kept for 6 years as electronic. Kept for 3 years as paper
6.2	Financial Transactions Management 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 and delegations • Audit investigations • Arrangements for the provision of goods and/or services 	Statutory Kept electronic form only after 3 years
6.3	Identification of the receipt, expenditure and write offs of public monies	Destroy 6 years after the conclusion of the financial transaction that the record supports	<ul style="list-style-type: none"> • Allowances • Work orders • Invoices • Credit card statements • Cash books • Receipts • Cheque counterfoils • Bank statements 	Statutory This period may be reduced with the agreement of Customs and Excise and/or the Inland Revenue. Payments & Receipts are scanned & stored. Invoices kept in paper - 3

Contd.

Financial Management

Ref No	Function Description	Retention Period	Examples of Record	Reason
6.3	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	Contd. <ul style="list-style-type: none"> • Subsidiary ledgers (annual) • Journals (annual) • Vouchers • Debtor and Creditor listings and reports 	Contd. months but scanned. Electronic/scanned records go back to 1992/3
6.4	Process involving the provision and support for individuals using public transportation & TV Licence Refunds	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 (travel Concessions) • TV Licence Refunds 	Statutory
6.5	Processes that balance and reconcile financial accounts	Destroy 6 years after the conclusion of the financial transaction that the record supports	<ul style="list-style-type: none"> • Reconciliation • Summaries of accounts 	Kept in paper until end of audit then in electronic form until 6 years are up.
6.6	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 	Statutory

Financial Management

Ref No	Function Description	Retention Period	Examples of Record	Reason
6.7	Processes involved in the collection of National Insurance Number	Destroy 5 years after the employee ceases employment	<ul style="list-style-type: none"> Notification and input records 	Statutory
	Payroll			
6.8	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 Summary employee pay reports 	Statutory
	Financial Provisions			
	Budgets and Estimates			
6.9	The process of finalising local authorities' annual budget	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> Annual budget 	Common Practice Only the final version of the annual budget needs to be kept

Financial Management

Ref No	Function Description	Retention Period	Examples of Record	Reason
6.10	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 	Common Practice Electronic WPs are kept longer – 6yrs.
6.11	The process of reporting which examines the budget in relation to actual revenue and expenditure	Destroy after 2 years	<ul style="list-style-type: none"> • Quarterly statements 	Electronic WPs & reports are kept longer-4 yrs now
	Loans			
6.12	The activity of borrowing money to enable a local authority to perform its functions and exercise its powers	Destroy 7 years after the loan has been repaid	<ul style="list-style-type: none"> • Loan files 	Statutory
6.13	Summary management of loans	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Loans registers 	Common Practice
	Housing The process of offering financial help with welfare housing provision and maintenance			
6.14	Mortgages	Last payment + 6 years if signed Last payment + 12 years if sealed	<ul style="list-style-type: none"> • Mortgage agreements • Correspondence 	Statutory
6.15	Right to Buy	Destroy 12 years after sale of house	<ul style="list-style-type: none"> • Sale documents • agreement concerning sale 	Statutory

Financial Management

Ref No	Function Description	Retention Period	Examples of Record	Reason
6.18	<p>Council Tax Valuation and Business Rating Lists The valuation of property within a municipal district for the purpose of establishing the liability for business Rates or Council Tax.</p>	<p>Valuation lists — Kept by Inland Revenue</p> <p>NNDR- Rating Lists kept by Valuation Office and WLDC</p>	<ul style="list-style-type: none"> • Valuation lists (Council Tax) • Rating Lists (NNDR) • Schedule of Alterations 	<p>Refer to Inland Revenue websites at www.voa.gov.uk/cti/InitS.asp?lcn=0 for Council Tax and www.voa.gov.uk for Business Rates</p>
6.19	<p>Liability Orders & Court lists for Council Tax and Business Rates For recovery of non- payment</p>	<p>Destroy list after 2 years List (current year + 1 year) Retain unpaid Liability Orders until debt has been paid.</p>	<p>Liability Order and court list showing name, address and amount and Court lists</p>	<p>Proof Order granted</p>
6.20	<p>Business Rates and Local Authorities Tax Correspondence The activity of corresponding with tax payers and rate payers in relation to all matters</p>	<p>All records are scanned into Document Imaging Process System. Destroy 7 years after last action. Paper records kept for 3 months then destroyed</p>	<ul style="list-style-type: none"> • Notices • Objections • Applications • Correspondence • Notices of acquisition and disposition 	<p>Document Retention Policy</p>
6.21	<p>Summary Assets Management See Property Management for real property assets. See Transport Management for vehicle assets.</p>			

Financial Management

Ref No	Function Description	Retention Period	Examples of Record	Reason
6.22	Summary management reporting on the overall assets of the local authorities	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Schedules of acquisitions • Consolidated current asset reports • Annual reports • Summary of current assets • Asset registers 	<p>Part of full annual report</p> <p>Electronic now – kept on spreadsheets</p>
	Asset Monitoring and Maintenance			
6.23	Management systems that allow the monitoring and 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 	New IPF system.
6.24	Process of reporting and reviewing assets status	Destroy 7 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 and proposals 	Part of final accounts
6.25	The process of maintaining assets	Destroy 7 years after last action	<ul style="list-style-type: none"> • Garden maintenance • Cleaning • Painting 	
6.26	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 	

Financial Management

Ret No	Function Description	Retention Period	Examples of Record	Reason
6.27	<p>Asset Acquisition and Disposal Management of the acquisition (by financial lease or purchase) and disposal (by sale or write off) process for assets</p>	Destroy 6 years, if under £50,000 or 12 years if over £50,000 after all obligations/entitlements are concluded	<ul style="list-style-type: none"> • Legal documents relating to the purchase/sale • Particulars of sale documents • Board of survey • Leases • Applications for leases, licences and rental revision • Tender documents • Conditions of contracts • Certificates of approval 	Statutory
6.28	<p>Cashiers Records</p>	Destroy 3 years after the end of the financial year Destroy 6 years after the end of the financial year.	<ul style="list-style-type: none"> • Daily cash reconciliation • Cash receipt print-outs • Paying in sheets • Bank paying-in books • Cheque lists • Receipt stubs – Council Tax • Receipt stubs – other • Original copies of bank statements • Petty cash vouchers 	<p>Most transactions are now electronic. Records are kept on system & reports produced/screens printed at any time.</p> <p>Electronic Now All past copies scanned & kept</p> <p>Limitation Act 1980 Kept by dept's</p>

Property and Land Management

Ref No	Function Description	Retention Period	Examples of Record	Reason
7.1	Property and Land Management Reports to management on overall property of the local authority	Retention for life of building or until report is updated	<ul style="list-style-type: none"> • Consolidated property and buildings annual reports • Summary of leased property • Summary of local authority's owned property • Site register • Register of leases 	Common Practice
7.2	Property Acquisition and Disposal (see also Conveyancing) 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"> • Plans • Transfer 	Common Practice
7.3	Management of the disposal (by sale or write off process for real property	Destroy 15 years after all obligations entitlements are concluded. Offer material re major significant properties to Archivist for review	<ul style="list-style-type: none"> • Legal Documents relating to the sale • Particulars of sale documents • Board of Survey • Tender documents • Conditions of Contract 	Common Practice
	Property Development and Renovation			
7.4	Management Buildings and estates of "specialist interest"	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Project specifications • Plans • Installation manuals • Certificates of approval 	Common Practice

Property and Land Management

Ref No	Function Description	Retention Period	Examples of Record	Reason
7.5	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 • Land Remediation Project 	Common Practice For asbestos see health and safety under General Public Services
	Leasing and Occupancy			
7.6	The process of managing leased property	Destroy 12 years after the expiry of the lease	<ul style="list-style-type: none"> • Lease agreements • Rental expenditure authorities • Valuation queries • Applications for leases, licences and rental revision 	Common Practice
7.7	Housing Provision The process of managing public sector housing estates	Destroy after 6 years	<ul style="list-style-type: none"> • Stock monitoring records 	Common Practice
	Systems Management			
7.8	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		
7.9	The process to implement a system used to support the activities of the local authority	Destroy 7 years after last action	<ul style="list-style-type: none"> • Implementation plan 	

Property and Land Management

Ref No	Function Description	Retention Period	Examples of Record	Reason
7.10	The process to support and administer a system used to support the activities of the local authority	Destroy 5 years after last action		
7.11	Transport Management The process of acquisition and disposal of vehicles through lease or purchase	Destroy 12 years under seal and 6 years under hand after the disposal of the vehicle	<ul style="list-style-type: none"> • Leases • Contracts • Quotes • Approvals • Fleet authorisation numbers 	
7.12	The process of managing allocation and maintenance of vehicles	Destroy 12 years after the sale or disposal of the vehicle if under seal and 6 years under hand	<ul style="list-style-type: none"> • Approvals as drivers • Allocations and authorisations for vehicles • Maintenance 	
7.13	The process of recording vehicle usage	Destroy 6 years after the sale or disposal of the vehicle	<ul style="list-style-type: none"> • Vehicle usage reports 	
7.14	The process of recording drivers usage	Destroy 6 years after closure	<ul style="list-style-type: none"> • Vehicle log book 	
	Insurance			
7.15	Policy Management The summary management of insurance arrangements	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded.	<ul style="list-style-type: none"> • Insurance register 	

Property and Land Management

Ref No	Function Description	Retention Period	Examples of Record	Reason
7.16	The process of insuring local authority officers (see <i>also Employers Liability</i>), property, vehicles and equipment against negligence, loss or damage	Destroy 7 years after the terms of the policy have expired	<ul style="list-style-type: none"> • Insurance policies • Correspondence 	
7.17	The process of renewing insurance policies	Destroy 7 years after insurance policy has been renewed	<ul style="list-style-type: none"> • Insurance policy and renewal records • Correspondence 	
7.18	Insurance for Employers Liability	Retain Certificate for 40 years	<ul style="list-style-type: none"> • Employers Liability Certificates 	Employers Liability Act
7.19	<p>Claims Management</p> <p>The process that records insurance claims against the local authority or local authority officers</p>	Destroy 7 years after all obligations/entitlements are concluded (allowing for the claimant to reach 25 years of age)	<ul style="list-style-type: none"> • Claims records • Correspondence 	

General Public Services

Ref No	Function Description	Retention Period	Examples of Record	Reason
	Health and Safety			
8.1	Inspections and Assessments Process of inspecting equipment to ensure it is safe	Destroy 6 years from destruction of the equipment	<ul style="list-style-type: none"> • Equipment inspection records • Lifting Equipment records 	Health & Safety at Work etc. Act 1974 & associated legislation
8.2	Process of carrying out monitoring to ensure that the process is safe	Retain 3 years from last action	<ul style="list-style-type: none"> • Monitoring results • Inspection records • Maintenance records 	Provision and Use of Work Reg's 1998 Management of Health & Safety at Work 1999 (Reg 5)
8.3	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 	Management of Health & Safety at Work Regulations
8.4	Process to ensure safe systems of work	Retain until superseded or process ceases +1 year	<ul style="list-style-type: none"> • Safe Working Procedures 	Management of Health and Safety Policy of the unit
8.5	Process to assess the level of risk	Retain 3 years from last assessment	<ul style="list-style-type: none"> • Risk Assessment 	Management of Health and Safety Policy of the unit
8.6	Processes that permit work	Retain 1 years from last action	<ul style="list-style-type: none"> • Completed Permits to Work 	Detailed in the Health & Safety Policy for Division

General Public Services

Ref No	Function Description	Retention Period	Examples of Record	Reason
8.7	Process that records injuries to adults	Destroy after 3 years	<ul style="list-style-type: none"> Accident reports and books 	Reporting of injuries and Dangerous Occurrence Regulations 1195, Social Security Act 1975
8.8	Process that records injuries to children	Destroy after 30 years	<ul style="list-style-type: none"> Accident reports and books 	Reporting of injuries and Dangerous Occurrence Regulations 1195, Social Security Act 1975
	Emergency Planning			
8.9	Process to develop the emergency/ disaster plan for the local community	Current copy kept until superseded	<ul style="list-style-type: none"> Emergency Plan Departmental Emergency Plan 	
8.10	Major Incident Activities that report on all major incidents in the local community, whether the emergency plan has been invoked or not	Permanent. Offer to Archivist Transfer to place of deposit after administrative use is concluded.		
8.11	Activities that report on all minor incidents in the local community	Destroy 7 years after closure		

General Public Services

Ref No	Function Description	Retention Period	Examples of Record	Reason
	Enforcement Certification and Prosecution			
8.12	The administration of applications, registration, certification and licences in relation to local authorities' registration requirements	Destroy 3 years after registration or entitlement lapses	<ul style="list-style-type: none"> • Taxi Drivers (Private and Hackney) • Public Entertainment Licences • Amusement with Prizes Permits • Track Betting • Lotteries (small) • Theatre • Cinema • Sports • Late Night Refreshment Home • Game • Sex Establishments • Second Hand Goods • Door Supervisors • Scrap Metal Dealers • Motor Salvage Operators 	Statutory Note: may want archival review in cases of licensing of children in entertainment

General Public Services

Ref No	Function Description	Retention Period	Examples of Record	Reason
	Enforcement Certification and Prosecution			
8.13	The administration of applications, registration, certification and licences in relation to local authorities' registration requirements	Destroy 6 years after registration or entitlement lapses	<ul style="list-style-type: none"> • Applications for animal registration • Applications for registration of a business premises • Applications for release of animals impounded • Registers 	Statutory Note: may want archival review in cases of licensing of children in entertainment
8.14	The process involved in licensing sites for the holding or use of toxic or hazardous substances (including petroleum, agricultural chemical products or herbicides)	Permanent.	<ul style="list-style-type: none"> • Contaminated land register 	
8.15	Notification The process of issuing notices to citizens with respect to particular responsibilities	Destroy 6 years after the matter is concluded	<ul style="list-style-type: none"> • Animal impounding notices 	
8.16	Prosecution The process of prosecution or sanction of an individual or organisation for failing to comply with their legal responsibilities	Destroy 6 years from last action	<ul style="list-style-type: none"> • Prosecution/sanction files 	

General Public Services

Ref No	Function Description	Retention Period	Examples of Record	Reason
8.17	Cemeteries and Crematoria Summary management systems that record the location of burials and identity of deceased individuals	Permanent.	<ul style="list-style-type: none"> • Register of interments • Cemetery register • Cemetery plans 	
8.18	The process of regulation of burials and cremations	Destroy 6 years after last action	<ul style="list-style-type: none"> • Permits • Applications • Orders 	
	Waste Management The provision of hard waste removal, destruction and waste reduction services by the local authority to ratepayers			
8.19	Collection The process of arranging the collection or transportation of household waste	Destroy 2 years after last action		
8.20	The process of arranging the collection or transportation of controlled waste	Destroy 6 years after last action		
8.21	Disposal of Waste 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.		
8.22	The process of the short- term storage of household waste	Destroy 10 years after site closure	<ul style="list-style-type: none"> • Transfer sites 	
8.23	The process involved in managing the use, type and amount of waste to be disposed at a specific site	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded.	<ul style="list-style-type: none"> • Waste site plans 	

Planning and Land Use

Ref No	Function Description	Retention Period	Examples of Record	Notes
	Planning Scheme Development and Amendment Planning Scheme Development			
9.1	Policy Design & Implementation - The activity of developing a vision and strategic directions regarding existing and future land use within the Local Authority and the development of local and town center plans to ensure the implementation of the Structure Plan.	Destroy deposit draft documents 5 years after Local Plan/LDF is adopted Destroy adopted plan 5 years after it is replaced by new plan Offer adopted documents to Archivist and keep one copy for historic record	<ul style="list-style-type: none"> • Structure Plan • Local Plan/Local • Development Framework • Town Centre Plans • Unitary Development Plans • Supplementary Planning Guidance 	
9.2	Policy Design & Implementation - Consultation in respect of Local Plans and Local Development Framework	Destroy 5 years after Local Plan/LDF is adopted	<ul style="list-style-type: none"> • Consultation documents and replies • Inquiries and objections made by members of public • Public Inquiry documents • Land-use surveys including ecological surveys 	

Comment:

As stated above, information / data relating to representations made on the Local Plan will be collated until the Local Plan is formally adopted then destroyed. Information that has resulted in a change in the Local Plan may be stored for longer period if there is sufficient reason for it.

Planning and Land Use

Ref No	Function Description	Retention Period	Examples of Record	Notes
9.3	<p>Urban Design & Conservation – Information on Heritage Conservation & Urban Design Matters.</p>	<p>Permanent</p> <p>Permanent</p> <p>Permanent</p> <p>Retain for 7 years</p> <p>Retain for 5 years then destroy after administrative use concluded</p> <p>Retain for 7 years after completion</p>	<ul style="list-style-type: none"> • Schedule of Ancient Monuments • Listed building records General Files for Listed Buildings & some specific building files, Buildings at Risk Information • Conservation areas including Article 4 directions – from date of designation, correspondence notes etc • Historic Parks & Gardens all matters relating to correspondence notes etc • Historic Building Grants for individual properties including CAPS & HERS • Urban Design general information in subject index eg Public Art mainly correspondence notes etc • Files on individual Improvement Schemes (Implementation) 	

Planning and Land Use

Ref No	Function Description	Retention Period	Examples of Record	Notes
9.4	Building Control – Building Control Matters	<p>Electronically archive Building Regulation Full Plans and Building Notice Files and plans 3 years after expiry of decision date</p> <p>Retain electronic registers Permanent</p> <p>Destroy hardcopy financial files 7 years after administrative use concluded</p> <p>Destroy other hardcopy files 15 years after administrative use has concluded</p>	<ul style="list-style-type: none"> • Building Regulation Full plans & Building Notices Files, plans and electronic register (plans & files received between 1987 to date) • Approved inspector Files, plans & electronic register • Fensa electronic register • Cavity Fill applications and electronic register • Dangerous Buildings files and electronic register • Demolition Notices files & electronic register 	
9.5	Development Control - Planning Applications	Permanent	<ul style="list-style-type: none"> • Planning application files and plans • Appeal Documents • Planning application register 	

Planning and Land Use

Ref No	Function Description	Retention Period	Examples of Record	Notes
9.6	Development Control - Enforcement & Complaints	Permanent Retain for 5 years	<ul style="list-style-type: none"> • Enforcement Notices • Planning Contravention Notices • Breach of Condition Notices • Section 215 Notices • Stop Notices • Enforcement Appeals • Complaints (C files) 	These records contain confidential information
9.7	Development Control – Tree Preservation Orders	Permanent	<ul style="list-style-type: none"> • Tree Preservation Orders • Requests for work to protected trees 	
9.8	Development Control- General Correspondence	Retain for 5 years then destroy after administrative use concluded	<ul style="list-style-type: none"> • Requests for information on specified sites • Determinations • Pre-application advice 	

Infrastructure and Transport

Ref No	Function Description	Retention Period	Examples of Record	Reason
	Planning & Development Scheme Development			
10.1	The activity of developing a vision and strategic directions regarding existing transport and infrastructure within the district	Permanent. Offer to Archivist Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Structure Plan • Local Transport Plans (LCC) • Consultation responses general 	Common practice
10.2	The activity of recording location of highways, bridle paths and rights of way	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded. .	<ul style="list-style-type: none"> • Definitive map (1940's) • Correspondence concerning enquiries and disputes • Public path orders, (diversions, path orders, extinguishments and creations). 	
10.3	The activity of establishing planning scheme controls and providing for them to be amended and modified	Permanent. Offer to Archivist, Transfer to place of deposit after administrative use is concluded.	<ul style="list-style-type: none"> • Amendments to definitive map • Road adoption 	
10.4	The process of receiving, considering and responding to submissions and objections to planning schemes and amendments	Destroy 7 years after decision. Offer controversial/high profile schemes to Archivist	<ul style="list-style-type: none"> • Enquiries, consultation documents, objections and correspondence 	

Infrastructure and Transport

Ref No	Function Description	Retention Period	Examples of Record	Reason
10.8	<p>Infrastructure Management and Maintenance</p> <p>The activity of providing municipal services in relation to infrastructure within the local authority</p>	Destroy 7 years after last action	<ul style="list-style-type: none"> • Street files • Street records <p>Requests for:</p> <ul style="list-style-type: none"> • Naming of streets • Numbering of houses • Street Signs • Bus shelters • Public rights of way 	

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RETENTION & DISPOSAL GUIDELINES

1. Introduction

Rosendale Borough Council is fully committed to ensure compliance with the objectives and obligations of the General Data Protection Regulation 2016 (GDPR) and the Data Protection Act 2018 (DPA).

The processing of data by the Council is essential to services and functions and will often involve the use of personal and special category data. Compliance with the data protection legislation will ensure that such processing is carried out fairly and lawfully.

The legislation regulates the way in which personal information about individuals, whether held on computer or in a manual filing system, is obtained, stored, used and disclosed. The legislation grants rights to individuals to see the data stored about them, to require modification of the data if it is wrong and, in certain cases, to compensation. The provisions amount to a right of privacy for the individual.

The purpose of this policy is to provide guidance to ensure that there are effective and efficient processes in place in the way the Council handles and disposes of information.

This policy has been authorised by the Council's Senior Leadership Team and the Data Protection Officer.

2. Scope of this Policy

2.1.0 These Retention Guidelines have been issued to support local authorities in the areas of the UK General Data Protection Regulations (UK GDPR) Data Protection Act 2018, Freedom of Information Act 2000 and the Local Government Act 2003. It has been issued by the Records Management Society of Great Britain after consultation with a number of local government authorities, their agencies and other experts in the field.

2.1.1 The Guidelines were developed to reflect an understanding of the administrative processes that give rise to record creation. This is intended to make the Guidelines independent of any particular format of record that might be historically created (e.g. card, register) or media (e.g. paper, electronic) and prolong the Guidelines' period of application.

- 2.1.2 The Guidelines are intended to cover the continuum of records and information from creation through to destruction or for retention for historical or research purposes.
- 2.1.3 Records sentenced for destruction under the Guidelines may be destroyed in accordance with the provisions of the Guidelines. Backup copies stored on alternative media (server/microfilm/paper) should also be destroyed. This is vital to ensure compliance with the requirements of UK GDPR / Data Protection (specifically GDPR Article 5 (1) (e) and Freedom of Information legislation. (FOI Code of Practice – Section 46)
- 2.1.4 The local authority or the agency acting for it should hold notification of the records destroyed in accordance with the Guidelines on its behalf. See Section 2.12 for how long these should be kept.
- 2.1.5 Records for permanent preservation should be passed to the local authority's Archivist or its agency's place of deposit. In most cases this will be the appropriate local Record Office.

3. Transfer of Records to County Records or Storage

Records identified in the schedule as 'permanent' are marked 'Offer to Archivist'. The Archivist may choose to select a sample of the records for permanent preservation in the archives; the remainder should be destroyed as specified in the Guidelines. The sample may be random, selective or purposeful.

'Offer to Archivist for review' is used to indicate record classes where the Archivist will not usually be interested in retaining the class of records, but may wish to retain those concerning high profile or controversial policies/projects.

Records no longer required for administrative use may still retain sensitive information. The Archivist should be informed of sensitivity at the time of transfer of the material to the archives and an appropriate closure period agreed. The closure period should comply with Freedom of Information legislation and the authority's policy.

As there is no legal basis for the enforcement and support of these Guidelines, each local authority needs to ensure that the actions shown in the Guidelines are ratified internally within the local authority or its agency.

Ratification can be achieved by obtaining signatures of the Chief Executive and or Internal Audit

4. Litigation and Limitation of Scope

Whenever there is the possibility of litigation, the records and information that are likely to be affected should not be amended or disposed of until the threat of litigation has been removed.

Records that are the subject of Freedom of Information, Data Protection, Environmental Information Regulations etc official request or appeal, must not be destroyed until that request or appeal has been completed. To knowingly destroy a record when it is subject to a request/complaint is an offence.

The Limitations Act 1980 specifies time limits for commencing litigation. These Guidelines should only be used by local authorities for the disposal of common functional and housekeeping records as described in the Guidelines. It should be taken as a baseline for each authority to interpret and apply appropriately in accordance with local practice. These Guidelines are not intended to cover school records; however, the majority of school administration records can be sentenced under these Guidelines.

5. Destruction of Records

When records identified for disposal in the Guidelines are destroyed, a register of such records needs to be kept. For records not covered by the Guidelines, contact your record management service, legal department or suitable experienced sources for further advice.

It is not sufficient to document that a quantity of records had been destroyed on a certain date. Enough details should be retained to identify which records have been destroyed.

Unless otherwise stated, paper documents are disposed of as follows:-

- Confidential documents are to be shredded or removed using a confidential waste collection.
- Public documents which do not contain confidential information are disposed of using the paper recycling bins.

Contact the Legal Governance department on 01442 228538 for more details.

6. Standard Operating Procedure

There are some records that do not need to be kept at all. Standard Operating Procedure (SOP) defines types of records which staff may routinely destroy in the normal course of business. However, the retention and disposal schedule may contain reference and instructions referring to them.

SOP usually applies to information that is duplicated, unimportant or only of short-term facilitative value. Unimportant records or information will include the following:

- 'with compliments' slips
- catalogues and trade journals
- telephone message slips
- non-acceptance of invitations
- trivial electronic mail messages or notes that are not related to agency business
- requests for stock information such as maps or plans
- advertising material
- out of date distribution lists
- working papers which lead to a final report

Duplicated and superseded material such as stationery, manuals, drafts, forms, address books and reference copies of annual reports may be destroyed under SOP. Electronic copies of documents where a hard copy has been printed and filed, and thermal paper facsimiles after making and filing a photocopy, are also covered.

SOP should not be applied to records or information that can be used as evidence – to prove that something happened. If you are in doubt about what information is required consult with your legal unit.

All of these may be destroyed by standard operating procedure that should be part of any ISO 9000 (Quality Management) system if applicable.

7. Responsibility

The Senior Leadership Team

The Council's Senior Leadership Team is responsible for approval of this policy. The team is also responsible for approving and overseeing all information security related projects and initiatives.

Managers and Team Leaders

Managers and team leaders are responsible for ensuring: -

- record retention policies are implemented in their team
- record keeping systems and arrangement of records enable identification of records due for disposal
- records due for disposal are routinely identified and reviewed to ensure they are no longer required
- staff dispose of records only in accordance with policies set out in this policy
- records are disposed of appropriately considering their sensitivity, security classification and the media and format(s) in which they are held
- records of potential historic interest or research value are identified and transferred with agreement to the local Record Office
- evidence of the disposal process is kept

All Staff

Everyone is responsible for:

- following procedures and guidance for managing, retaining and disposing of records
- only disposing of records in accordance with the requirements outlined in this policy (if authorised to do so)
- ensuring that any proposed divergence from records retention and disposal policies is authorised by the senior management team

8. Reviewing the Schedule

This Retention and Disposal Schedule has been authorised and approved by Full Council on . An updated Version has been adopted by Cabinet on and again on

This Guideline prescribes minimum and permanent retention periods and will be reviewed at regular intervals.

Explanation of Retention and Disposal Schedule Headings

The Retention and Disposal Schedule below is divided into sections of administrative functions that are commonly undertaken by local government.

1. Reference number

The function or entry reference number provides citation and ease of reference.

2. Function Description

The name of each function is specified in this entry. This relates to a group of records that perform the same activity.

The Schedule provides notes that define each function in terms of related activities.

The Schedule may also include instructions or guidelines relating to weeding, sampling disposition provisions, information on duplication of record content in other classes and cross-references to other entries within the Schedule.

3. Retention Period

This entry provides the archival status of each process being either permanent or temporary. In relation to the temporary status of records the entry also provides a retention period or sentence specifying how long the records should be kept prior to destruction and the activity, transaction or event to which the retention period or sentence should be tied.

4. Examples of Records

This section provides common examples of the type of records included within the particular function. This list is not exhaustive and Local Authorities should feel free to annotate their copy of the Schedule with local names of the examples listed if required.

5. Reason

This indicates if the retention action is common practice or statutory.

Glossary of terms

- **Administrative Use:** When business use has been ended or the file has been closed.
- **Closure:** ‘ Destroy ‘x’ years from closure ‘. A record/file is closed when it ceases to be active. After closure, no new papers/information should be added to the record.
- **Closure period:** Specified period of time during which the record is subject to restrictions on provision of access to staff and/or the public may be dictated by statutory requirements or by the authority’s policy. Any closure period should comply with current legislation on access to local government information - including the Data Protection and Freedom of Information Acts.
- **Common practice:** Standard practice followed by Local Authorities
- **Last action:** ‘ Destroy ‘x’ years after last action’. Date of most recent amendment / addition / deletion of information.
- **Permanent:** Records which must be kept indefinitely [or for approximately 100 years] for legal and/or administrative purposes, and/or are of enduring value for historical research purposes and so suitable for transfer to the authority’s archive or place of deposit.
- **Place of deposit:** Usually in the Council’s file storage places as determined by each department.

RETENTION AND DISPOSAL SCHEDULE

Approved by Council on

Version 2 – Adopted by Cabinet on

Version 3 – Adopted by Cabinet on *insert date*

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Democratic Processes

Ref No	Function Description	Retention Period	Examples of Record	Reason
	Electoral Services			
1.1	<p>Preparation</p> <p>Summary certification of those eligible to vote</p>	<p>Destroy paper copies as soon as processed</p> <p>Destroy Paper copies after processing, scanned image retained for 12 months</p> <p>Permanent</p>	<ul style="list-style-type: none"> • Postal/Proxy application forms • Annual canvass forms, invitation to register forms, overseas electors and service voters • Electoral Register 	<p>Statutory (Representation of the Peoples Act 1983) Common practice</p> <p>Common practice</p>
1.2	Voting	Destroy 12 months from date of election	<ul style="list-style-type: none"> • Ballot papers (and any other material) • Marked copies of the Register 	<p>Representation of the Peoples Act 1983, Sch. 1, s.57</p> <p>The Local Elections (Principal Areas) (England and Wales) Rules 2006 Sch.2 r.54</p> <p>The Local Elections (Parishes and Communities) (England</p>

				and Wales) Rules 2006, Sch. 2, r.54
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Democratic Processes

Ref No	Function Description	Retention Period	Examples of Record	Reason
1.3	Results Declaration of results (local elections only)	Destroy 12 months from date of election Online results retained for research purposes	<ul style="list-style-type: none"> • Ballot Paper Accounts • Election Notices 	<p>Representation of the Peoples Act 1983, Sch. 1, s.57</p> <p>The Local Elections (Principal Areas) (England and Wales) Rules 2006 Sch.2 r.54</p> <p>The Local Elections (Parishes and Communities) (England and Wales) Rules 2006, Sch. 2, r.54</p>
1.4	Directions/advice for Procedures	Permanent until superseded	<ul style="list-style-type: none"> • Legislation • EC Circulars • Government Circulars 	
1.5	Candidates Candidates Summary of Election Expenses —	Return to Candidates (if requested) or destroy 2 years from the date of receipt	<ul style="list-style-type: none"> • Candidates Election Expenses 	Representation of the Peoples Act 1983 s.89

	Local and Parliamentary			
1.6	Candidate details	Destroy 6 months after close of nominations and up until the day of election	<ul style="list-style-type: none"> • Candidates nomination papers and consent to nomination forms 	<p>Representation of the Peoples Act 1983, Sch. 1, s.57</p> <p>The Local Elections (Principal Areas) (England and Wales) Rules 2006 Sch.2 r.54</p> <p>The Local Elections (Parishes and Communities) (England and Wales) Rules 2006, Sch. 2, r.54</p>

Democratic Processes

Ref No	Function Description	Retention Period	Examples of Record	Reason
	Council and Committee Meetings			
1.7	The process of preparing business for Council consideration, Council meetings, Cabinet, Committees/Sub-Committees, Community	Permanent Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Minute Books • Agendas and Reports • Background papers 	Common Practice/Access to Local Government (Access to Information) Act 1985

	Partnerships and making a record of discussion, debate and resolutions.		<ul style="list-style-type: none"> • Meetings of the Council or the Cabinet or any Committees/Sub Committees of the Council • Live streaming of Committee Meetings on YouTube • Audio recordings 	<p>Minutes should be held in perpetuity. Reports and background documents form part of the minutes and should therefore be retained for a period of 6 years</p> <p>Live streamed Committee Meetings held on YouTube in perpetuity</p> <p>Audio recordings should be retained for a period of 12 months</p>
1.8	Minute taking	Destroy after date of confirmation of the minutes	<ul style="list-style-type: none"> • Draft/rough minutes 	Common practice

Democratic Processes

Ref No	Function Description	Retention Period	Examples of Record	Reason
	Partnership, Agency and External Meetings			
1.9	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. Transfer to place of deposit after	<ul style="list-style-type: none"> • Documents establishing the committee • Agendas • Minutes 	Common Practice

		administrative use is concluded.	<ul style="list-style-type: none"> • Council reports • Recommendations • Supporting documents such as Council briefing and discussion papers 	
1.10	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 3 years after last action	<ul style="list-style-type: none"> • Documents establishing the committee • Reports • Recommendations • Supporting documents such as briefing and discussion papers. 	Common Practice
	Process of preparing honours submission.	Destroy 5 years after last action	<ul style="list-style-type: none"> • Honours nomination forms • Covering documentation • Letters of support • Referral for comment from Lord Lieutenant. 	Common Practice
	Members Declaration of Financial Interests	Length of term in Office plus 6 years		
	Member Declarations	Destroy 6 years after member has left Office		
1.11	Appointment to Outside Bodies The process of undertaking representation of the local authority – local authority representatives	Destroy 3 years after last action	<ul style="list-style-type: none"> • Appointment to outside organizations and charitable bodies. 	

Management and Administration

Ref No	Function Description	Retention Period	Examples of Record	Reason
	Corporate Planning and Reporting			
2.1	The corporate planning and reporting activities of local authorities	Destroy 3 years expiry	<ul style="list-style-type: none"> • Corporate Plans • Strategy Plans • Business Plans • Annual Reports 	Common Practice
2.2	The process of preparing business for strategic consideration and making the record of discussion, debate and resolutions	Destroy after 2 years	<ul style="list-style-type: none"> • Management Team Minutes 	Common Practice
2.3	Statutory returns The process of preparing information to be passed on to central government as part of statutory requirements	Destroy 1 year after audited	<ul style="list-style-type: none"> • Reports to central government • Housing Subsidy Claim • HRA • QRC (Council Tax) • CTB (Council Tax) 	Common Practice
2.4	Policy, Procedures, Strategy and Structure Activities that develop policies, procedures, strategies and structures for the local authorities	Destroy 3 years after expiry	<ul style="list-style-type: none"> • Policy, procedure, precedent, instructions • Organisation charts • Records relating to policy implementation and development • Asset management plan • Community strategy • Community plan • Community safety plan 	Common Practice

Management and Administration

Ref No	Function Description	Retention Period	Examples of Record	Reason
2.5	The process of monitoring and reviewing strategic plans, policies or procedure to assess their compliance with guidelines	Destroy 3 years from closure		Common Practice
	Policy Documents	Destroy 7 years after policy has superseded		
2.6	<p>Public Consultation</p> <p>The process of consulting the public and staff in the development of significant policies of the local authority</p>	<p>Destroy 5 years from closure</p> <p>Personal Information on database — keep up to date, destroy when no longer needed.</p>		<p>Common Practice</p> <p>Data Protection Act 2018.</p>

Management and Administration

Ref No	Function Description	Retention Period	Examples of Record	Reason
2.7	The process of consulting the public and staff in the development of minor policies of the local authority	Destroy 1 year from closure		Common Practice
2.8	Information Management The activity whereby standards, authorities, restraints and verifications are introduced and maintained to manage information effectively	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Classification schemes • Registers • Indexes • Authorised lists of file headings 	Common Practice
2.9	The management of collections of records transferred to the archives	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded.	<ul style="list-style-type: none"> • Accession registers • Depositor files 	Common Practice
2.10	The process that records the disposal of records	Destroy 12 years after last action	<ul style="list-style-type: none"> • Disposal certificates 	Common Practice Based on Limitation Act
2.11	FOI / EIR / GDPR or DataProtection Case Records	Destroy 6 years after information released or withheld.	<ul style="list-style-type: none"> • Email or letter Requests • Case Notes 	Common Practice and Statutory

			<ul style="list-style-type: none"> • Data Subject Access Requests • Acknowledgement letters • Refusal letters 	
2.12	CCTV - The process of managing CCTV images	Max. up to 30 days	<ul style="list-style-type: none"> • Tapes • HDD Images • Still Images 	Common Practice
2.13	CCTV – The process of managing CCTV footages	Destroy 6 years after obtaining the same	<ul style="list-style-type: none"> • Video recordings 	Common Practice and Statutory
2.14	Life Statements	Destroy 6 years after obtaining the same	<ul style="list-style-type: none"> • Proof of Life 	Legal currently undertake this service mainly for residents with an overseas pension Common Practice
2.15	Social Media Chat or Transcripts	MS Teams data to be held in perpetuity	<ul style="list-style-type: none"> • MS Teams Chat 	Common Practice
2.16	Enquiries and Complaints The management in summary form of enquiries and complaints directed to Council	Destroy 6 years after closure	<ul style="list-style-type: none"> • Email • Indexes • Letters • Registers 	Common Practice

Management and Administration

Ref No	Function Description	Retention Period	Examples of Record	Reason
2.17	The management of enquiries, submissions and complaints which result in significant changes to policy or procedures	Destroy 6 years after closure	<ul style="list-style-type: none"> • Reports • Returns • Correspondence 	Common Practice
2.18	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 	Common Practice
2.19	The management of routine responses on council actions, policy or procedures	Destroy 1 year after administrative use if concluded	<ul style="list-style-type: none"> • Printed material • Form letters 	Common Practice
2.20	<p>Quality and performance management</p> <p>The process of monitoring or reviewing the quality, efficiency, or performance of a local authority service or unit</p>	Destroy 1 year after administrative use is concluded	<ul style="list-style-type: none"> • Best Value Review 	Common Practice
2.21	The process of assessing the quality, efficiency, or performance of a local authority service or unit	Destroy 1 years after administrative use is concluded	<ul style="list-style-type: none"> • Assessment form 	Common Practice

Management and Administration

Ref No	Function Description	Retention Period	Examples of Record	Reason
	Public Relations			
2.22	Publications The process of designing setting information for publication	Destroy 2 years from last action		Common Practice
2.23	The published work of the local authority	Destroy after administrative use is concluded		Common Practice
	Media Relations			
2.24	Process of interaction with the media.	Destroy 3 years from closure.	<ul style="list-style-type: none"> • Press releases • Press inquiries • Photographs • Press cuttings 	Common Practice
2.25	Public Relations general	Destroy 2 years from closure	<ul style="list-style-type: none"> • The process of providing the Public Relations service 	Common Practice
2.26	Marketing The process of developing and promotion of local authorities campaigns and events	Destroy 1 year from closure.		Common Practice
2.27	Civic and Royal Events	Permanent. Transfer to place of deposit	<ul style="list-style-type: none"> • Visitor's book • Audio tapes 	Common Practice

	The recording of ceremonial events and civic occasions	after administrative use is concluded	<ul style="list-style-type: none"> • Video tapes • Photographs 	
2.28	The process of organising a ceremonial event or civic occasions	Destroy 1 year after administrative use is concluded	<ul style="list-style-type: none"> • Mayors “At Home” 	Common practice

Housing Provision

Ref No	Function Description	Retention Period	Examples of Record	Reason
3.1	The registration of individuals housing applications	Permanent	<ul style="list-style-type: none"> • Council housing register 	
3.2	The process for applying for council housing (Unsuccessful applications only, successful applications will generally be placed on the tenancy file)	Destroy 7 years after closure	<ul style="list-style-type: none"> • Council housing application forms and supporting material • Application for transfer of tenancy and supporting papers 	
3.3	The process for managing the tenancy of an individual tenant	Destroy 7 years after termination of tenancy	<ul style="list-style-type: none"> • Correspondence re tenancy • Tenancy files • Council housing application forms and supporting material 	NOTE: These may need to be kept for a longer period of time in order to prove that the tenancy was actually housed

			<ul style="list-style-type: none"> • Application for transfer of tenancy and supporting papers Application for emergency housing or referral from another agency 	properly by the authority
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Housing Provision

Ref No	Function Description	Retention Period	Examples of Record	Reason
3.4	The process of the allocation and management of welfare housing by the local authority and the associated issues of homelessness	Destroy 7 years after closure of homeless housing advice enquiry including associated records concerning temporary accommodation,	<ul style="list-style-type: none"> • Homeless application/enquiry forms and supporting material. • Inter authority homeless referrals • Tenancy Relations case enquiries and supporting information • Records of households in temporary accommodation. • Social Needs Panel casework records • Racial Harassment case records • Closed case summary sheets 	

			<ul style="list-style-type: none"> • Housing Association nomination records • National mobility scheme records 	
3.5	Administration of homelessness and housing advisory services by reception	Destroy 1 year after the conclusion of the financial year to which the records relate.	<ul style="list-style-type: none"> • Appointment diary 	

Housing Provision

Ref No	Function Description	Retention Period	Examples of Record	Reason
3.6	The process of collating statistics concerning the work of the Housing Advisory Service for a range of internal and external reports and returns	Destroy 7 years after the year end to which the statistics relate.	<ul style="list-style-type: none"> • Homelessness returns to ODPM • Contribution to HIP and CIPFA returns • EU accession treaty and B&B usage reports 	
3.7	The management and administration of temporary accommodation and removal and storage of clients belongings/furniture	Destroy 7 years after the conclusion of the financial year to which the records were created.	<ul style="list-style-type: none"> • Rent records • Management payments to external providers of temporary accommodation • Orders and invoices for goods and services associated with the 	

			provision of temporary accommodation <ul style="list-style-type: none"> • As above concerning storage obligations. 	
3.8	As above regarding Warden staff	Destroy two years after action completed	<ul style="list-style-type: none"> • Time Sheets/ sleeping in /overtime claims 	

Housing Provision

Ref No	Function Description	Retention Period	Examples of Record	Reason
3.9	Right to Buy - (also see 6.15) Role of Housing Advice in the receipt and administration of right to buy applications	Destroy 7 years after sale completed	<ul style="list-style-type: none"> • Request for valuations and Valuation sheets • Tenants notices of Intention • Sale notices 	
3.10	Right to buy- Administration- sources of information and outcomes of applications	Permanent	<ul style="list-style-type: none"> • Property register • Ledgers of property sold and RTB applications 	
3.11	The planning, delivery, management and improvement of services	Destroy three years after the end of the financial year to which the record relates to.	<ul style="list-style-type: none"> • Homelessness strategy and review • Service delivery plan • Homelessness directory • Single Homeless strategy 	

			<ul style="list-style-type: none"> • Service Improvement Plan of advice services 	
3.12	Home Improvement Grants	Destroy 15 years after last payment	<ul style="list-style-type: none"> • Estimates of Work • Enquiry Form • Completion Certificate • Builders Accounts • Details of Payments 	Statutory

Ref No	Function Description	Retention Period	Examples of Record	Reason
3.13	All Private Sector Renewal Schemes including Enveloping and Block Schemes	Destroy after 15 years	<ul style="list-style-type: none"> • Contract Documents • Tendering Documents • Specification of works • Pricing Info 	Statutory
3.14	Other Private Sector Renewal Functions including Empty Homes Policy and Landlord Accreditation.	Destroy after 5 years	<ul style="list-style-type: none"> • Correspondence • Property Inspection Reports • Accreditation Certificates • Landlord portfolio details 	Common Practice

Legal and Contracts

Ref No	Function Description	Retention Period	Examples of Record	Reason
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4.1	<p>Litigation</p> <p>The process of managing, undertaking or defending for or against litigation on behalf of the local authority</p>	<p>Destroy 6 years after closure of file.</p> <p>Major litigation – precedent case – offer to Archivist.</p>	<ul style="list-style-type: none"> • Criminal case file • Insurance Claims * • Civil case file <p>* see reference 7.15</p>	<p>Sec. 2 & Sec.11 Limitations Act 1980</p>
4.2	<p>Advice</p> <p>The process of providing legal advice on law and practice.</p>	<p>Destroy 6 years after closure of file.</p>	<p>All Council business etc such as:-</p> <ul style="list-style-type: none"> • Housing • Planning • Community Safety 	<p>Common Practice</p>
4.3	<p>Agreements</p> <p>Process of agreeing terms between organisations</p> <p>Note: this does not include contractual agreements</p>	<p>Destroy 6 years after agreement expires or is terminated (but note may be longer if grant conditions require it).</p>	<ul style="list-style-type: none"> • Partnership Agreements • Service Level Agreements • Contracts • Grant agreements 	<p>Common Practice and statutory</p>
4.4	S106	15 years from date of deed	S106 Agreements	
4.5	<p>Conveyance (see also Property Acquisition and Disposal)</p> <p>The process of changing ownership of land or property.</p>	<p>Destroy 12 years after registration of title.</p>	<ul style="list-style-type: none"> • Conveyancing files 	<p>Sec. 15 Limitation Act 1980</p>

Legal and Contracts

Ref No	Function Description	Retention Period	Examples of Record	Reason
4.6	<p>Contracts and Tendering</p> <p>Pre Contract Advice</p> <p>The process of calling for expressions of interest</p>	Destroy 2 years after contract let or not proceeded with	<ul style="list-style-type: none"> Expressions of Interest 	Common Practice/ Limitation Act 1980
4.7	<p>Specification and Contract Development</p> <p>The process involved in the development and specification of a contract</p>	<p><u>Ordinary Contracts</u> Destroy 6 years after the terms of contract have expired</p> <p><u>Contracts under Seal</u> Destroy 12 years after the terms of contract have expired.</p>	<ul style="list-style-type: none"> Tender specification 	<p>Sec.5 Limitation Act 1980</p> <p>Sec.9 Limitation Act 1980</p>
4.8	<p>Tender Issuing and Return</p> <p>The process involved in the issuing and return of a tender.</p>	Destroy 1 year after start of contract	<ul style="list-style-type: none"> Opening notice Tender envelope 	Common Practice
4.9	Contracts Registers/register of tenders/quotations	25 years		Common practice
4.10	Evaluation of Tender	<p><u>Ordinary Contracts</u> Destroy 6 years after the terms of contract have expired.</p> <p><u>Contracts under Seal</u></p>	<ul style="list-style-type: none"> Evaluation criteria 	Sec 5 Limitation Act 1980

		Destroy 12 years after the terms of contract have expired.		Sec 8 Limitation Act 1980
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Legal and Contracts

Ref No	Function Description	Retention Period	Examples of Record	Reason
4.11	Successful tender document	<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 	Sec 5 Limitation Act 1980 Sec 8 Limitation Act 1980
4.12	Unsuccessful tender documents	Destroy 1 year from tender return date	<ul style="list-style-type: none"> • Tender documents • Quotations 	Common practice
4.13	Post Tender Negotiation The process in negotiation of a contract after a preferred tender is selected	<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"> • Clarification of contract • Post tender negotiation 	Sec. 5 Limitations Act 1980 Sec. 8 Limitations Act 1980

4.14	Awarding of Contract The process awarding of 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"> Signed contract 	Statutory Sec. 8 Limitations Act 1980
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Legal and Contracts

Ref No	Function Description	Retention Period	Examples of Record	Reason
4.15	Contract Management Contract operation and monitoring	<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"> Compliance report Performance reports Service Level Agreements 	Sec. 5 Limitations Act 1980 Sec. 8 Limitations Act 1980
4.16	Management and amendment of contract	a) <u>Ordinary Contracts</u> Destroy 6 years after the terms of contract have expired b) <u>Contracts Under Seal</u> Destroy 12 years after the terms of contract have expired	<ul style="list-style-type: none"> Minutes and papers of meetings Changes to requirements Variation forms Extension of contract Complaints Disputes on payment 	Sec.5 Limitations Act 1980 Sec. 8 Limitations Act 1980

4.17	<p>Tenancy Agreements The process of awarding tenancies in public sector housing</p>	<p>a) <u>Ordinary Tenancy</u> Destroy 6 years after the terms of agreement have expired.</p> <p>b) <u>Tenancy under Seal</u> Destroy 12 years after the terms of agreement have expired.</p>	<ul style="list-style-type: none"> • Signed tenancy agreements • Sealed tenancy agreements 	<p>Sec.5 Limitations Act 1980</p> <p>Sec. 8 Limitations Act 1980</p>
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Note: Halsburys Law of England Vol. 28 para. 882 defines a contract under seal as a “specialty”.

Halsburys Statues Vol.27 page 942. S.8 Limitations Act 1980 states actions for specialties limited to 12 years. It now also includes actions under Contract (Rights of Third Parties) Act 1999.

Legal and Contracts

Ref No	Function Description	Retention Period	Examples of Record	Reason
4.18	<p>Bye-Laws</p> <p>Enactment The process of making local laws</p>	<p>Permanent. Offer to Archivist.</p> <p>Transfer to place of deposit after administrative use is concluded.</p>	<ul style="list-style-type: none"> • Master set of bye-laws • Policy development documents • Correspondence • Submissions 	<p>Common Practice</p>

Human Resources

Ref No	Function Description	Retention Period	Examples of Record	Notes/comments Reason
5.1	<p>Personnel General Administration</p> <p>Record limited information about employees and posts including names, date of births, post(s) and dates held, start/finish dates, summary work histories, post histories etc.</p>	Permanent (transferred to archive once administrative use has concluded),	<ul style="list-style-type: none"> Establishment records — staff registers, employee history cards, variations register. Records of decisions taken by HR Manager under delegated powers 	<p>Common Practice Internal Audit requirement</p> <p>Internal Audit requirement</p>
5.2	<p>Recruitment and Selection</p> <p>The selection of an individual for an established position</p>	Destroy 6 months after recruitment process concludes	<ul style="list-style-type: none"> Post Details – Job Description, Person Specification, Advertisement Reference Unsuccessful Application forms Shortlisting interview notes etc 	Common Practice to retain in case of a claim under the Equality Act
5.3	<p>Equality Monitoring</p> <p>The process of investigating and reporting in accordance with Equal Employment Opportunities guidelines and policies.</p>	<p>Destroy 6 months after recruitment process concludes</p> <p>Permanent. Anonymised summaries.</p> <p>Permanent</p>	<ul style="list-style-type: none"> Equality monitoring forms Equal Opportunities Database Summary Current Employees 	Required by law for monitoring and comparison.

Human Resources

Ref No	Function Description	Retention Period	Examples of Record	Notes/Comments/Reason
5.4	<p>Disclosure and Barring Service Check — when required (Staff working with Children or vulnerable adults)</p>	Permanent — retain DBS reference number and date of certificate on Personnel file	<ul style="list-style-type: none"> • Information recorded from DBS document • DBS Record of reference number as evidence of the Disclosure having been obtained 	<p>Requirement under DBS Code of Practice</p> <p>Permitted under DBS code of Practice</p>
5.5	<p>Employment Records The process of administering employees to ensure that entitlement and obligations are in accordance with agreed employment requirements</p>	<p>Retain on Personnel file — Destroy 6 years after date of employment</p> <p>Termination + 25 years</p> <p>Destroy 2 years after leave has been taken</p>	<ul style="list-style-type: none"> • Application Form • Job Description • Job Specification • Medical Clearance Letter of Appointment/ Acceptance • Probation report • Personal particulars • Qualifications • Declaration of pecuniary interests • Employment Contracts • Records of Staff working with Children • Leave and Attendance Records – all leave taken (not just annual leave) 	Common Practice

Human Resources

Ref No	Function Description	Retention Period	Examples of Record	Reason
5.6	<p>Employee & Industrial Relations</p> <p>Processing of disciplinary and grievances</p>	<p>6 years after last action</p> <p>Placed on Personnel file permanently</p> <p>Destroy immediately after the grievance has been found to be /have been unfounded, or after appeal</p> <p>Transfer to place of deposit after administrative use is concluded</p> <p>Destroy 2 years after administrative use is concluded</p>	<ul style="list-style-type: none"> • Disciplinary Records – includes records of investigation, statements, interview notes etc • Notification of Formal Warnings • Warning involving Children • Disciplinary Unfounded, or after appeal • Generic Agreement (Local Agreements) • Negotiations • Disputes • Claims lodged • Daily employee relations management • Compulsory Competitive Tendering 	<p>For all practical purposes this function would not be subject to records management</p> <p>Retained for defending claims and reference purposes.</p> <p>Common Practice</p> <p>Common Practice</p> <p>Common Practice</p>

5.6 cont		Permanent – record of tendering processes and conditions of service needed	records – includes working papers, correspondence between client and contractor etc.	
5.7	Occupational Health	Destroy 6 months after recruitment process concludes Termination date + 6 years	<ul style="list-style-type: none"> • Pre-employment screening • Pre-employment Occupational Health Reports • Employee medical screening records – health questionnaires, medical clearances, workplace adjustments, work restrictions, medical recommendations 	<p>Common Practice to retain in case of a claim under the Equality Act</p> <p>Common Practice Recommended by Records Management Society – Details may be required even after employment has ended.</p>
5.8	Staff Monitoring Performance	Destroy 5 years after action is completed.	<ul style="list-style-type: none"> • Performance Plans • Performance Monitoring 	Common Practice
5.9	Training & Development Routine staff training processes	Destroy 2 years after action completed.	<ul style="list-style-type: none"> • Course individual staff assessment 	Common Practice

Financial Management

Ref No	Function Description	Retention Period	Examples of Record	Reason
	Accounts and Audit			
	Reporting			
6.1	The process that consolidates financial transactions on an annual basis for corporate reporting purposes	Permanent. Offer to Archivist, Transfer to place of deposit after administrative use is concluded after 6 years	<ul style="list-style-type: none"> • Consolidated annual reports • Consolidated financial statements • Statement of financial position • Operating statements • General ledger 	Permanent Permanent Permanent Kept for 6 years as electronic. Kept for 3 years as paper
6.2	Financial Transactions Management 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 and delegations • Audit investigations • Arrangements for the provision of goods and/or services 	Statutory Kept electronic form only after 3 years
6.3	Identification of the receipt, expenditure and write offs of public monies	Destroy 6 years after the end of the financial year that the transaction that the record supports occurs in.	<ul style="list-style-type: none"> • Allowances • Work orders • Invoices • Credit card statements • Cash books • Receipts • Cheque counterfoils • Bank statements 	Statutory This period may be reduced with the agreement of Customs and Excise and/or the Inland Revenue.

				Payments & Receipts are scanned & stored. Invoices kept in paper - 3
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Financial Management

Ref No	Function Description	Retention Period	Examples of Record	Reason
6.3	Identification of the receipt, expenditure and write offs of public monies	Destroy 6 years after the end of the financial year that the transaction the record supports occurs in occurs.	<ul style="list-style-type: none"> Subsidiary ledgers (annual) Journals (annual) Vouchers Debtor and Creditor listings and reports 	months but scanned. Electronic/scanned records go back to 1992/3
6.4	Process involving the provision and support for individuals using public transportation & TV Licence Refunds	Destroy 6 years after the end of the financial year that the transaction that the record supports occurs in.	<ul style="list-style-type: none"> Applications Card issue Rail warrants (travel Concessions) TV Licence Refunds 	Statutory
6.5	Processes that balance and reconcile financial accounts	Destroy 6 years after the end of the financial year that the transaction that the record supports occurs in.	<ul style="list-style-type: none"> Reconciliation Summaries of accounts 	Kept in paper until end of audit then in electronic form until 6 years are up.
6.6	Taxation Records	Destroy 6 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 	Statutory

Financial Management

Ref No	Function Description	Retention Period	Examples of Record	Reason
6.7	Processes involved in the collection of National Insurance Number	Destroy 6 years after the end of the financial year during which the employee ceases employment	<ul style="list-style-type: none"> Notification and input records 	Statutory
6.8	Covid Business Grants	Destroy 10 years after the conclusion of the financial year that the transaction occurs.	<ul style="list-style-type: none"> Applications Supporting evidence Reconciliations 	Instructed by Department of Business, Energy & Industrial Strategy.
	Payroll			
6.8	Accountable processes relating to payment of employees	<p>Destroy 7 years after the conclusion of the financial year that the transaction occurs.</p> <p>Dormant staff will be retained in the Payroll application.</p>	<ul style="list-style-type: none"> Authority sheets Payroll deduction authorities Payroll disbursement Employee pay records Employee taxation records Summary employee pay reports 	Statutory
	Financial Provisions			
	Budgets and Estimates			
6.9	The process of finalising local authorities' annual budget	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> Annual budget 	Common Practice Only the final version of the

				annual budget needs to be kept
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Financial Management

Ref No	Function Description	Retention Period	Examples of Record	Reason
6.10	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 	Common Practice Electronic WPs – 6yrs after the end of the year
6.11	The process of reporting which examines the budget in relation to actual revenue and expenditure	Destroy after 2 years	<ul style="list-style-type: none"> • Quarterly statements 	Electronic WPs & reports - 4 yrs
	Loans			
6.12	The activity of borrowing money to enable a local authority to perform its functions and exercise its powers	Destroy 7 years after the loan has been repaid	<ul style="list-style-type: none"> • Loan files 	Statutory
6.13	Summary management of loans	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Loans registers 	Common Practice
	Housing The process of offering financial help with welfare housing provision and maintenance			
6.14	Mortgages	Last payment + 6 years if signed Last payment + 12 years if sealed	<ul style="list-style-type: none"> • Mortgage agreements • Correspondence 	Statutory
6.15	Right to Buy	Destroy 12 years after sale of house	<ul style="list-style-type: none"> • Sale documents 	Statutory

			<ul style="list-style-type: none"> • agreement concerning sale 	
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Financial Management

Ref No	Function Description	Retention Period	Examples of Record	Reason
6.18	<p>Council Tax Valuation and Business Rating Lists</p> <p>The valuation of property within a municipal district for the purpose of establishing the liability for business Rates or Council Tax.</p>	<p>Valuation lists — Kept by Inland Revenue</p> <p>NNDR- Rating Lists kept by Valuation Office and WLDC</p>	<ul style="list-style-type: none"> • Valuation lists (Council Tax) • Rating Lists (NNDR) • Schedule of Alterations 	<p>Refer to Inland Revenue websites at www.voa.gov.uk/cti/InitS.asp?lcn=0 for Council Tax and www.voa.gov.uk for Business Rates</p>
6.19	<p>Liability Orders & Court lists for Council Tax and Business Rates</p> <p>For recovery of non- payment</p>	<p>Destroy list after 2 years</p> <p>List (current year + 1 year)</p> <p>Retain unpaid Liability Orders until debt has been paid.</p>	<p>Liability Order and court list showing name, address and amount and Court lists</p>	<p>Proof Order granted</p>
6.20	<p>Business Rates and Local Authorities Tax Correspondence</p> <p>The activity of corresponding with tax payers and rate payers in relation to all matters</p>	<p>All records are scanned into Document Imaging Process System. Destroy 7 years after last action. Paper records kept for 3 months then destroyed</p>	<ul style="list-style-type: none"> • Notices • Objections • Applications • Correspondence • Notices of acquisition and disposition 	<p>Document Retention Policy</p>

6.21	Business Rates and Council tax records of liability, discount, exemption, reliefs, benefits, support and payments sufficient to allow recalculations where there is a statutory duty e.g. revaluation, splits and mergers of hereditaments	Council tax 1 st April 1993	<ul style="list-style-type: none"> Name of liable party Calculation of liability 	Rebanding of property requires recalculation of all liable parties accounts to 1 st April 1993
6.22	Information collected in respect of claims and awards of Housing Benefit, Council Tax Benefit, local Council Tax support and discretionary Housing Payments.	Calendar Year + 6 Years after the year in which activity on the case ended, including any activity to recover overpayments. In all cases sufficient to satisfy requirements of Benefits Subsidy Audit.	Supplementary records relating to the assessment of benefits	
6.23	Summary Assets Management See Property Management for real property assets. See Transport Management for vehicle assets.			

Financial Management

Ref No	Function Description	Retention Period	Examples of Record	Reason
6.24	Summary management reporting on the overall assets of the local authorities	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> Schedules of acquisitions Consolidated current asset reports Annual reports Summary of current assets 	Part of full annual report

			<ul style="list-style-type: none"> Asset registers 	Electronic now – kept on spreadsheets
	Asset Monitoring and Maintenance			
6.25	Management systems that allow the monitoring and 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 	IPF system.
6.26	Process of reporting and reviewing assets status	Destroy 7 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 and proposals 	Part of final accounts
6.27	The process of maintaining assets	Destroy 7 years after last action	<ul style="list-style-type: none"> Garden maintenance Cleaning Painting 	Common practice
6.28	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 	Common practice

Financial Management

Ret No	Function Description	Retention Period	Examples of Record	Reason
6.29	Asset Acquisition and Disposal Management of the acquisition (by financial lease or purchase)	Destroy 6 years, if under £50,000 or 12 years if over £50,000 after all obligations/entitlements are concluded	<ul style="list-style-type: none"> Legal documents relating to the purchase/sale Particulars of sale documents Board of survey Leases 	Statutory

	and disposal (by sale or write off) process for assets		<ul style="list-style-type: none"> • Applications for leases, licences and rental revision • Tender documents • Conditions of contracts • Certificates of approval 	
6.30	Cashiers Records	<p>Destroy 6 years after the end of the financial year</p> <p>Destroy 6 years after the end of the financial year.</p>	<ul style="list-style-type: none"> • Daily cash reconciliation • Cash receipt print-outs • Paying in sheets • Bank paying-in books • Cheque lists • Receipt stubs – Council Tax • Receipt stubs – other • Original copies of bank statements • Petty cash vouchers 	<p>Most transactions are now electronic. Records are kept on system & reports produced/ screens printed at any time.</p> <p>Electronic Now All past copies scanned & kept</p> <p>Limitation Act 1980 Kept by dept's</p>

Property and Land Management

Ref No	Function Description	Retention Period	Examples of Record	Reason
7.1	<p>Property and Land Management</p> <p>Reports to management on overall property of the local authority</p>	Retention for life of building or until report is updated	<ul style="list-style-type: none"> • Consolidated property and buildings annual reports • Summary of leased property • Summary of local authority's owned property 	Common Practice

			<ul style="list-style-type: none"> • Site register • Register of leases 	
7.2	Property Acquisition and Disposal (see also Conveyancing) 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"> • Plans • Transfer 	Common Practice
7.3	Management of the disposal (by sale or write off process for real property	Destroy 15 years after all obligations entitlements are concluded. Offer material re major significant properties to Archivist for review	<ul style="list-style-type: none"> • Legal Documents relating to the sale • Particulars of sale documents • Board of Survey • Tender documents • Conditions of Contract 	Common Practice
	Property Development and Renovation			
7.4	Management Buildings and estates of “specialist interest”	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Project specifications • Plans • Installation manuals • Certificates of approval 	Common Practice

Property and Land Management

Ref No	Function Description	Retention Period	Examples of Record	Reason
7.5	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 • Land Remediation Project 	Common Practice For asbestos see health and safety under General Public Services

	Leasing and Occupancy			
7.6	The process of managing leased property	Destroy 12 years after the expiry of the lease	<ul style="list-style-type: none"> Lease agreements Rental expenditure authorities Valuation queries Applications for leases, licences and rental revision 	Common Practice
7.7	Housing Provision The process of managing public sector housing estates	Destroy after 6 years	<ul style="list-style-type: none"> Stock monitoring records 	Common Practice
	Systems Management			
7.8	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		
7.9	The process to implement a system used to support the activities of the local authority	Destroy 7 years after last action	<ul style="list-style-type: none"> Implementation plan 	

Property and Land Management

Ref No	Function Description	Retention Period	Examples of Record	Reason
7.10	The process to support and administer a system used to support the activities of the local authority	Destroy 5 years after last action		

7.11	Transport Management The process of acquisition and disposal of vehicles through lease or purchase	Destroy 12 years under seal and 6 years under hand after the disposal of the vehicle	<ul style="list-style-type: none"> • Leases • Contracts • Quotes • Approvals • Fleet authorisation numbers 	
7.12	The process of managing allocation and maintenance of vehicles	Destroy 12 years after the sale or disposal of the vehicle if under seal and 6 years under hand	<ul style="list-style-type: none"> • Approvals as drivers • Allocations and authorisations for vehicles • Maintenance 	
7.13	The process of recording vehicle usage	Destroy 6 years after the sale or disposal of the vehicle	<ul style="list-style-type: none"> • Vehicle usage reports 	
7.14	The process of recording drivers usage	Destroy 6 years after closure	<ul style="list-style-type: none"> • Vehicle log book 	
	Insurance			
7.15	Policy Management The summary management of insurance arrangements	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded.	<ul style="list-style-type: none"> • Insurance register 	

Property and Land Management

Ref No	Function Description	Retention Period	Examples of Record	Reason
7.16		Destroy 7 years after the terms of the policy have expired	<ul style="list-style-type: none"> • Insurance policies • Correspondence 	

	The process of insuring local authority officers (see also Employers Liability), property, vehicles and equipment against negligence, loss or damage			
7.17	The process of renewing insurance policies	Destroy 7 years after insurance policy has been renewed	<ul style="list-style-type: none"> • Insurance policy and renewal records • Correspondence 	
7.18	Claims Management The process that records insurance claims against the local authority or local authority officers	Destroy 7 years after all obligations/entitlements are concluded (allowing for the claimant to reach 25 years of age)	<ul style="list-style-type: none"> • Claims records • Correspondence 	

General Public Services

Ref No	Function Description	Retention Period	Examples of Record	Reason
	Health and Safety			
8.1	Inspections and Assessments Process of inspecting equipment to ensure it is safe	Destroy 6 years from destruction of the equipment	<ul style="list-style-type: none"> • Equipment inspection records • Lifting Equipment records 	Health & Safety at Work etc. Act 1974 & associated legislation

8.2	Process of carrying out monitoring to ensure that the process is safe	Retain 3 years from last action	<ul style="list-style-type: none"> Monitoring results Inspection records Maintenance records 	Provision and Use of Work Reg's 1998 Management of Health & Safety at Work 1999 (Reg 5)
8.3	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 	Management of Health & Safety at Work Regulations
8.4	Process to ensure safe systems of work	Retain 3 years from last assessment	<ul style="list-style-type: none"> Safe Working Procedures 	Corporate Health and Safety Policy Common Practice
8.5	Process to assess the level of risk	Retain 3 years from last assessment	<ul style="list-style-type: none"> Risk Assessment 	Corporate Health and Safety Policy
8.6	Processes that permit work	Retain 1 year from last action	<ul style="list-style-type: none"> Completed Permits to Work 	Corporate Health and Safety Policy Common Practice

General Public Services

Ref No	Function Description	Retention Period	Examples of Record	Reason
8.7	Process that records injuries to adults	Destroy after 3 years	<ul style="list-style-type: none"> Accident reports and books 	Reporting of injuries and Dangerous Occurrence Regulations 2013, Social Security Act 1975

8.8	Process that records injuries to children	Destroy after 25 years	<ul style="list-style-type: none"> Accident reports and books 	Reporting of injuries and Dangerous Occurrence Regulations 2013, Social Security Act 1975
	Emergency Planning			
8.9	Process to develop the emergency/ disaster plan for the local community	Current copy kept until superseded	<ul style="list-style-type: none"> Emergency Plan Departmental Emergency Plan 	
8.10	Major Incident Activities that report on all major incidents in the local community, whether the emergency plan has been invoked or not	Permanent. Offer to Archivist Transfer to place of deposit after administrative use is concluded.		
8.11	Activities that report on all minor incidents in the local community	Destroy 7 years after closure		

General Public Services

Ref No	Function Description	Retention Period	Examples of Record	Reason
	Enforcement Certification and Prosecution			
8.12	The administration of applications, registration, certification and licences in	Destroy 6 years after registration/entitlement/licence lapses, expires, surrender etc.	<ul style="list-style-type: none"> Taxi Drivers and vehicles (Private and Hackney) 	Statutory Note: may want archival review in cases of

	relation to local authorities' registration requirements		<ul style="list-style-type: none"> • Gambling Act • Licensing Act 2003 • Sex Establishments • Second Hand Goods • Scrap Metal Dealers • Motor Salvage Operators • Stage Hypnotism • Caravan Licensing • House to House/Street Collection • Street Trading • Animal licences • Skin piercing and cosmetic treatments 	licensing of children in entertainment
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General Public Services

Ref No	Function Description	Retention Period	Examples of Record	Reason
	Enforcement Certification and Prosecution			
8.13	The administration of applications, registration, certification and licences in relation to local authorities' registration requirements	Destroy 6 years after registration or entitlement lapses	<ul style="list-style-type: none"> • Applications for animal registration • Applications for registration of a business premises • Applications for release of animals impounded • Registers 	Statutory Note: may want archival review in cases of licensing of children in entertainment

8.14	The process involved in licensing sites for the holding or use of toxic or hazardous substances (including petroleum, agricultural chemical products or herbicides)	Permanent.	<ul style="list-style-type: none"> Contaminated land register 	
8.15	Notification The process of issuing notices to citizens with respect to particular responsibilities	Destroy 6 years after the matter is concluded	<ul style="list-style-type: none"> Animal impounding notices 	
8.16	Prosecution The process of prosecution or sanction of an individual or organisation for failing to comply with their legal responsibilities	Destroy 6 years from last action	<ul style="list-style-type: none"> Prosecution/sanction files 	

General Public Services

Ref No	Function Description	Retention Period	Examples of Record	Reason
8.17	Cemeteries and Crematoria Summary management systems that record the location of burials and identity of deceased individuals	Permanent.	<ul style="list-style-type: none"> Register of interments Cemetery register Cemetery plans 	
8.18	The process of regulation of burials and cremations	Destroy 6 years after last action	<ul style="list-style-type: none"> Permits Applications Orders 	Common Practice and Statutory
	Waste Management The provision of hard waste removal, destruction and waste reduction services by the local authority to ratepayers			

8.19	Collection The process of arranging the collection or transportation of household waste	Destroy 2 years after last action		Common Practice
8.20	The process of arranging the collection or transportation of controlled waste	Destroy 6 years after last action		Common Practice and Statutory
8.21	Disposal of Waste 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.		
8.22	The process of the short- term storage of household waste	Destroy 10 years after site closure	<ul style="list-style-type: none"> • Transfer sites 	Common Practice
8.23	The process involved in managing the use, type and amount of waste to be disposed at a specific site	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded.	<ul style="list-style-type: none"> • Waste site plans 	Common Practice

Planning and Land Use

Ref No	Function Description	Retention Period	Examples of Record	Notes
	Planning Scheme Development and Amendment Planning Scheme Development			
9.1	Planning Policy & Implementation - The activity of developing a vision and strategic directions regarding existing and future land use within the Local Authority and the development of local plans to ensure the	Destroy draft documents 5 years after Local Plan is adopted. Destroy adopted plan 5 years after it is replaced by new plan and keep one copy for historic record	<ul style="list-style-type: none"> • Local Plan • Area Action Plans • Supplementary Planning Documents 	

	implementation of the Development Plan for Rossendale and other associated planning guidance.			
9.2	Consultation of Planning Policy and Implementation - Consultation in respect of Local Plans and other planning policy guidance relevant to Rossendale	Destroy 5 years after Local Plan/LDF/SPD / other planning document is adopted	<ul style="list-style-type: none"> • Consultation documents and replies • Inquiries and objections made by members of public • Hearing documents Evidence base work including land-use and ecological surveys	Contains contact information

Comment:

As stated above, information / data relating to representations made on the Local Plan will be collated and retained until 5 years after the Local Plan is formally adopted then destroyed. Information that has resulted in a change in the Local Plan or other planning guidance may be stored for longer period if there is sufficient reason for it.

Planning and Land Use

Ref No	Function Description	Retention Period	Examples of Record	Notes
9.3	Urban Design & Conservation – Information on Heritage Conservation & Urban Design Matters.	Permanent Permanent	<ul style="list-style-type: none"> • Schedule of Ancient Monuments • Listed building records General Files for Listed Buildings & some specific building files, Buildings at Risk Information 	

		<p>Permanent</p> <p>Retain for 7 years</p> <p>Retain for 5 years then destroy after administrative use concluded</p> <p>Retain for 7 years after completion</p>	<ul style="list-style-type: none"> • Conservation areas including Article 4 directions – from date of designation, correspondence notes etc • Historic Parks & Gardens all matters relating to correspondence notes etc • Historic Building Grants for individual properties including CAPS & HERS • Urban Design general information in subject index eg Public Art mainly correspondence notes etc • Files on individual Improvement Schemes (Implementation) 	
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Planning and Land Use

Ref No	Function Description	Retention Period	Examples of Record	Notes
9.4	Building Control – Building Control Matters	<p>Electronically archive Building Regulation Full Plans and Building Notice Files and plans 3 years after expiry of decision date</p> <p>Retain electronic registers Permanent</p>	<ul style="list-style-type: none"> • Building Regulation Full plans & Building Notices Files, plans and electronic register (plans & files received between 1987 to date) • Approved inspector Files, plans & electronic register • Fensa electronic register 	

		<p>Destroy hardcopy financial files 7 years after administrative use concluded</p> <p>Destroy other hardcopy files 15 years after administrative use has concluded</p>	<ul style="list-style-type: none"> • Cavity Fill applications and electronic register • Dangerous Buildings files and electronic register • Demolition Notices files & electronic register 	
9.5	Development Control - Planning Applications	Permanent	<ul style="list-style-type: none"> • Planning application files and plans • Appeal Documents • Planning application register 	

Planning and Land Use

Ref No	Function Description	Retention Period	Examples of Record	Notes
9.6	Development Control - Enforcement & Complaints	<p>Permanent</p> <p>Retain for 5 years</p>	<ul style="list-style-type: none"> • Enforcement Notices • Planning Contravention Notices • Breach of Condition Notices • Section 215 Notices • Stop Notices • Enforcement Appeals • Complaints (C files) 	These records contain confidential information
9.7	Development Control – Tree Preservation Orders	Permanent	<ul style="list-style-type: none"> • Tree Preservation Orders 	

			<ul style="list-style-type: none"> • Requests for work to protected trees 	
9.8	Development Control and Forward Planning - General Correspondence letters	Retain for 5 years then destroy after administrative use concluded	<ul style="list-style-type: none"> • Requests for information on specified sites • Determinations • Pre-application advice • S.106 information requests 	

Local Land Charges

Ref No	Function Description	Retention Period	Examples of Record	Notes
10.1	Register of Local Land Charges	Permanent. Transfer to Place of Deposit after administrative use is concluded	<ul style="list-style-type: none"> • Electronic and paper documents 	Local Land Charges Act 1975
10.2	Copies of completed searches	6 years from completion		Common Practice
10.3	General correspondence relating to Local Land Charges	6 years after administrative use is concluded	<ul style="list-style-type: none"> • Correspondence 	Common Practice
10.4	Cashiers Receipts for cheques received	Shall be retained for 21 days to allow for reconciliation of payments received	<ul style="list-style-type: none"> • Paper documents and electronic 	A copy of F Ticket is held by Central Admin for a period of 7 years.

10.5	NLIS and TM Choice statements of electronic payments received by BACS. Used daily to reconcile payments received	Retain for 5 years then destroy after administrative use concluded	<ul style="list-style-type: none"> Received by email. 	The statements are emailed to Finance who keep for a period of 7 years.
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Infrastructure and Transport

Ref No	Function Description	Retention Period	Examples of Record	Reason
11.1	<p>Infrastructure Management and Maintenance</p> <p>The activity of providing municipal services in relation to infrastructure within the local authority</p>	Destroy 7 years after last action	<ul style="list-style-type: none"> Street files Street records <p>Requests for:</p> <ul style="list-style-type: none"> Naming of streets Numbering of houses Street Signs 	

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