



Document Retention and Destruction  
Procedures and Guidelines

## **1 Establishment of the Procedures and Guidelines**

### **1.1.0 Statutory basis and scope of the Guidelines**

1.1.1 These procedures and guidelines have been written to facilitate Council compliance with the following legislation:-

Data Protection Act 1998

Freedom of Information 2000

Local Government Act 1976.

1.1.2 These procedures and guidelines reflect an understanding of administrative processes and as such, are deliberately independent of any particular format, e.g. paper/electronic files.

1.1.3 These guidelines are intended to cover records and information from creation through to destruction, or through to their retention for historical/research purposes.

1.1.4 Records must be destroyed in accordance with the guidelines given in section 1.3.2. All versions of a record must be destroyed at the same time so this includes backups, microfiches and electronic copies of paper documents.

1.1.5 Records which should be kept permanently should be passed on either to the Council's archive or a place of deposit, i.e. the local Record Office. The Information Management Officer will advise on this.

1.1.6 Where records need to be kept for many years, it may be possible to scan paper documents for conversion to electronic files for ease of storage. Again speak to the Information Management Officer who will advise on this.

### **1.2.0 Objectives of the Retention Procedures and Guidelines**

1.2.1 The aim is to: -

- Assist in identifying records that may be worth preserving permanently as part of the Councils archives.
- Prevent the premature destruction of records that may need to be retained for a specified period to satisfy legal, financial and any other requirements.
- Provide consistency for the destruction of those records not required permanently.
- Promote improved Records Management practices.
- Ensure that the public has proper access to information whilst protecting personal rights as required by law.

### **1.3.0 Destruction of Records**

1.3.1 Whenever there is a possibility of litigation, both that which is bought by the Council and that bought against the Council, it is essential that the records and information which are likely to be required should a case come to court must not be amended or disposed of until the threat of litigation has been removed.

1.3.2 Records which are to be destroyed must be done so in a secure manner. A

shredder has been installed and each department has a trained user. When records are identified for destruction a register of the records should be kept.

#### **1.4.0 Standard Operating Procedure (SOP)**

1.4.1 There are some records that need not be kept at all. SOP defines types of records that staff may routinely destroy in the normal course of business.

1.4.2 SOP usually applies to information that is duplicated, unimportant or only of short term use. Examples of SOP are

- with compliments slips
- telephone message slips
- electronic mail messages or notes which are not related to Council business
- requests for basic information such as maps or plans
- working papers which lead to a final report

1.4.3 Duplicated and superseded material such as stationery, manuals, drafts, forms, address book and reference copies of annual reports may also 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.

1.4.4 SOP should not be applied to information that could be used as evidence.

## **Part 2 Explanation of Retention Guideline Headings**

The guidelines are divided into sections by administrative function, and are not intended to reflect departmental structures.

### **2.1.0 Reference number**

2.1.1 This number should provide ease of citation and reference to information.

### **2.2.0 Function**

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

### **2.3.0 Function Description**

2.3.1 The guidelines provide notes that define each function in terms of related activities.

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

### **2.4.0 Retention Action**

2.4.1 This entry provides the archival status of each process being either permanent or temporary. Permanent means that a record is kept forever and will therefore be

passed to a place of deposit such as the Records Office, temporary means any period of years but the record is not to be kept permanently  
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.

## 2.6.0 Notes

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

## 2.7.0 A glossary of terms

**Administrative Use.** This refers to administrative use (file still active and being processed) or business use (statutory or service based).

**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. Triggers for closure of a file include,

- reaching an unmanageable size,
- covering a specified period of years,
- where no more records have been added for a period of time,
- where no further action is taken after a period of time.

**Common practice.** Standard practice followed by local authority records managers who are members of the Records Management Society.

**Last action.** "Means destroy "x" years after last action e.g. last time the file had papers added or was used.

**Permanent.** Records which must be kept forever 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 the local Record Office or Council Archive.

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## Democratic Processes

| Reference Number | Function Description   | Retention Action   | Example Records   | Notes            |
|------------------|--|--|---|------------------|
|                  | <b>Elections</b>   |  |   |                  |
| 1.1              | Preparation.<br>Summary certification of those eligible to vote.   | Permanent.<br>Archive once administrative use has concluded. | Electoral Register  | Common Practice. |
| 1.2              | Voting (Local Elections).  | Destroy 6 months from close of poll.                         | Ballot Papers   | Statutory        |
| 1.3              | Results.<br>Declaration of results.(Local Elections)   | Destroy 6 months from date of election.                      | Consolidated returns of votes received.                           | Statutory        |
|                  | <b>Council and Committee Meetings</b>  |  |   |                  |
| 1.4              | The process of preparing business for Council consideration and making the record of discussion, debate and resolutions. | 6 years  | Council Minutes<br>Council agendas and business papers<br>Reports | Common Practice  |
| 1.5              | Background information to reports.   | 4 years  | Supplemental Information<br>Background Information                | Common Practice  |
| 1.6              | Minute Taking.   | Destroy after date of confirmation of the minutes.           | Draft/rough minutes<br>Audio Tapes                                | Common Practice  |

| Reference Number | Function Description   | Retention Action   | Example Records   | Notes           |
|------------------|--|--|---|-----------------|
|                  | <b>Partnership, Agency and External Meetings</b>   |  |   |                 |
| 1.7              | 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. Archive after administrative use has concluded. | Documents establishing the committee<br>Agendas<br>Minutes<br>Council Reports<br>Recommendations<br>Supporting documents such as Council briefing and discussion papers | Common Practice |
| 1.8              | The process of preparing business for external committee's 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.                         | Documents establishing the committee<br>Reports<br>Recommendations<br>Supporting documents such as briefing and discussion papers                                       | Common Practice |

| <b>Reference Number</b> | <b>Function Description</b>                               | <b>Retention Action</b>            | <b>Example Records</b>   | <b>Notes</b>    |
|-------------------------|---|------------------------------------|--|-----------------|
|                         | <b>Honours and Submissions</b>                            |                                    |  |                 |
| 1.9                     | The process of preparing honours submissions.             | Destroy 5 years after last action  | Honours nomination form<br>Covering documentation<br>Letters of support<br>Referral for comment by the Lord Lieutenant | Common Practice |
|                         | <b>Political Parties Papers</b>                           |                                    |  |                 |
| 1.10                    | The process of undertaking representation of the Council. | Destroy 3 years after last action. | Leader of the opposition papers<br>Leader of the Council papers  | Common Practice |

## Management and Administration

| Reference Number | Function Description   | Retention Action   | Examples of Records   | Notes           |
|------------------|--|--|---|-----------------|
|                  | <b>Corporate Planning and Reporting</b>  |  |   |                 |
| 2.1              | The Corporate planning and reporting activities of the Council.  | Permanent.<br>Archive when administrative use has concluded. | Corporate Plans<br>Strategy Plans<br>Business Plans<br>Annual Reports | Common Practice |
| 2.2              | The process of preparing business for strategic consideration and making the record of discussion, debate and resolutions.         | Permanent.<br>Archive when administrative use has concluded. | Strategic management team minutes.                                    | Common Practice |
| 2.3              | The process of preparing business for cross departmental consideration and making the record of discussion, debate and resolution. | Destroy 3 years from closure.                                |   | Common Practice |
| 2.4              | The process of preparing business for Unit/Team consideration and making the record of discussion, debate and resolutions.         | Destroy 3 years from closure.                                |   | Common Practice |

| <b>Reference Number</b> | <b>Function Description</b>   | <b>Retention Action</b>                                      | <b>Example Records</b>   | <b>Notes</b>    |
|-------------------------|---|--|--|-----------------|
|                         | <b>Statutory Returns</b>  |  |  |                 |
| 2.5                     | The process of preparing information to be passed on to central government as part of statutory requirements.               | Destroy 7 years from closure.                                | Reports to central government.   | Common Practice |
|                         | <b>Policies, Procedures, Strategy and Structure</b>   |  |  |                 |
| 2.6                     | Activities that develop policies, procedures, strategies and structures for the Council.                                    | Permanent.<br>Archive once administrative use has concluded. | Policy, procedure, precedent or instructions<br>Organisation charts<br>Records relating to policy implementation and development<br>Asset Management plan<br>Community Strategy<br>Community Plan<br>Community Safety Plan | Common Practice |
| 2.7                     | The process of monitoring and reviewing strategic plans, policies or procedures to assess their compliance with guidelines. | Destroy 5 years from closure.                                |  | Common Practice |

| <b>Reference Number</b> | <b>Function Description</b>  | <b>Retention Action</b>                                      | <b>Examples of Records</b>  | <b>Notes</b>    |
|-------------------------|--|--|---|-----------------|
|                         | <b>Public Consultation</b>   |  |   |                 |
| 2.8                     | The process of consulting the public and staff in the development of significant policies of the Council.                                  | Destroy 5 years from closure.                                |   | Common Practice |
| 2.9                     | The process of consulting the public and staff in the development of minor policies of the Council.  | Destroy 1 year from closure                                  |   | Common Practice |
|                         | <b>Information Management</b>  |  |   |                 |
| 2.10                    | The activity whereby standards, authorities, restraints and verifications are introduced and maintained to manage information effectively. | Permanent.<br>Archive once administrative use has concluded. | Classification schemes<br>Registers<br>Indexes<br>Authorised lists of file headings | Common Practice |
| 2.11                    | The management of collections of records transferred to the archives.  | Permanent.<br>Archive once administrative use has concluded. | Access Registers<br>Depositor Files   | Common Practice |

| <b>Reference Number</b> | <b>Function Description</b>  | <b>Retention Action</b>                                 | <b>Examples of Records</b>                        | <b>Notes</b>   |
|-------------------------|--|---|---|--|
| 2.12                    | The process that records the disposal of records.  | Destroy 12 years after last action.                     | Disposal Certificates                             | Common practice based on the Limitation Act  |
|                         | <b>Enquiries and Complaints</b>  |   |   |  |
| 2.13                    | The management in summary form of enquiries and complaints directed to the Council.                                  | 10 years.   | Indexes<br>Registers                              | Common Practice  |
| 2.14                    | The management of enquiries, submissions and complaints which result in significant changes to policy or procedures. | 10 years.   | Reports<br>Returns<br>Correspondence              | Common Practice<br>For complaints that radically alter policies or working practice these may be kept permanently. |
| 2.15                    | The management of detailed responses on council actions, policy or procedures.                                       | Destroy 6 years after administrative use has concluded. | Reports<br>Returns<br>Correspondence<br>Ombudsman | Common Practice  |
| 2.16                    | The management of routine responses on council action, policy or procedures.   | Destroy 2 years after administrative use has concluded. | Printed Material<br>Form Letters                  | Common Practice  |

| Reference Number | Function Description  | Retention Action              | Examples of Records                  | Notes           |
|------------------|---|-------------------------------|--------------------------------------|-----------------|
|                  | <b>Quality and Performance Management</b>   |                               |                                      |                 |
| 2.17             | The process of monitoring or reviewing the quality, efficiency, or performance of Council services and divisions. | Destroy 5 years from closure. | Best Value Review.                   | Common Practice |
| 2.18             | The process of assessing the quality, efficiency, or performance of Council services or divisions.                | Destroy 2 years from closure. | Assessment Forms<br>Internal Reviews | Common Practice |

| Reference Number | Function Description  | Retention Action   | Examples of Records  | Notes  |
|------------------|---|--|--|--|
|                  | <b>Housing</b>  |  |  |  |
| 3.1              | The registration of individuals housing applications.   | Permanent.<br>Archive once administrative use has concluded. | Council housing register.  | Common Practice  |
| 3.2              | The process of applying for Council housing.<br>(Unsuccessful applications only, successful applications will generally be placed on a tenancy file). | Destroy 7 years after closure.                               | Council housing application forms and supporting material<br>Application for transfer of tenancy and supporting papers   | Common Practice  |
| 3.3              | The process for managing the tenancy of an individual tenant.   | Destroy 12 years after termination of tenancy                | Correspondence re tenancy<br>Tenancy files<br>Council housing application forms and supporting material<br>Application for transfer of tenancy and supporting papers<br>Application for emergency housing or referral from another agency. | Common Practice<br>(These may be kept for a longer period of time in order to prove that the tenant was housed properly) |

| Reference Number | Function Description                                  | Retention Action   | Examples of Records  | Notes           |
|------------------|---|--|--|-----------------|
|                  | <b>Tenancy Agreements</b>                             |  |  |                 |
| 3.4              | The process of awarding tenancies in welfare housing. | a) <u>Ordinary Tenancy</u><br>Destroy 6 years after the terms of agreements have expired<br>b) <u>Tenancy Under Seal</u><br>Destroy 12 years after the terms of agreement have expired | Signed tenancy agreements<br>Sealed tenancy agreements                 | Statutory       |
|                  | <b>Housing Finances</b>                               |  |  |                 |
| 3.5              | Mortgages.  | Last payment + 6 years if signed<br>Last payment +12 year if sealed  | Mortgage agreements<br>Correspondence                                  | Statutory       |
| 3.6              | Right to Buy.   | Destroy 12 years after sale of house   | Sale Documents<br>Agreement concerning sale                            | Common Practice |
| 3.7              | Rent Payments.  | Destroy 7 years after the end of the financial year in which it was created.   | Rent books<br>Correspondence concerning payment<br>Request for payment | Statutory       |

| Reference Number | Function Description     | Retention Action   | Examples of Records  | Notes     |
|------------------|--------------------------|--|--|-----------|
| 3.8              | Home Improvement Grants. | <p>Destroy 6 years after last payment for grants under £50,000.</p> <p>For grants over £50,000 destroy 12 years after last payment.</p> <p>Where plans and detailed drawings have been included archive permanently.</p> | <p>Agreement to pay loan</p> <p>Details of payments</p> <p>Correspondence relating to loan</p> | Statutory |

## Legal and Contracts

| Reference Number | Function Description  | Retention Action  | Examples of Records  | Notes   |
|------------------|---|---|--|---|
|                  | <b>Litigation</b>   |   |  |   |
| 4.1              | The process of managing, undertaking and defending against litigation on behalf of the Council. | Destroy 7 years after last action.                            | Criminal case files<br>Childcare case files<br>Civil case file<br>Correspondence | Common Practice<br>In the case of major litigation these may be archived. |
|                  | <b>Advice</b>   |   |  |   |
| 4.2              | The process of providing legal advice on a point of law.  | Destroy 3 years after last action                             |  | Common Practice   |
|                  | <b>Agreements</b>   |   |  |   |
| 4.3              | Process of agreeing terms between organisations (This does not include contractual agreements)  | Destroy 6 years after the agreement expires or is terminated. | Concordat  | Common practice   |
|                  | <b>Conveyance</b>   |   |  |   |
| 4.4              | The process of changing ownership of land or property.  | Destroy 12 years after closure                                | Conveyance files   | Statutory   |

| Reference Number | Function Description   | Retention Action  | Examples of Records                  | Notes   |
|------------------|--|---|--------------------------------------|---|
|                  | <b>Contract and Tendering</b>  |   |                                      |   |
| 4.5              | Pre Contract Advice. The process of calling for expressions of interest.   | Destroy 2 years after contract awarded or not proceeded with.   | Expressions of Interest              | Common Practice   |
| 4.6              | Specification and Contract Development. The process involved in the development and specification of a contract. | a) <u>Ordinary Contracts</u><br>Destroy 6 years after the terms of contract have expired.<br>b) <u>Contracts Under Seal</u><br>Destroy 12 years after the terms of contract have expired. | Tender Specification                 | Statutory Drafts leading to final versions of project files can be destroyed. |
| 4.7              | Tendering Issuing and Return. The process involved in the issuing and return of a tender.                        | Destroy 1 year after start of contract  | Opening notice<br>Tender development | Common Practice   |

| Reference Number | Function Description   | Retention Action  | Examples of Records  | Notes           |
|------------------|--|---|--|-----------------|
| 4.8              | Evaluation of Tender.  | a) <u>Ordinary Contracts</u><br>Destroy 6 years after the terms of contract have expired.<br>b) <u>Contracts Under Seal</u><br>Destroy 12 years after the terms of contract have expired. | Evaluation Criteria  | Statutory       |
| 4.9              | Successful Tender document.  | a) <u>Ordinary Contracts</u><br>Destroy 6 years after the terms of contract have expired.<br>b) <u>Contracts Under Seal</u><br>Destroy 12 years after the terms of contract have expired. | Tender documents<br>Quotations                               | Statutory       |
| 4.10             | Unsuccessful Tender documents.   | Destroy 1 year after start of contract  | Tender documents<br>Quotations                               | Common Practice |
| 4.11             | Post Tender negotiation.<br>Process of negotiation of a contract after a preferred tender is selected. | Destroy 1 year after the terms of contract have expired.  | Clarification of contract<br>Post tender negotiation minutes | Common Practice |

| Reference Number | Function Description  | Retention Action  | Examples of Records  | Notes           |
|------------------|---|---|--|-----------------|
| 4.12             | Awarding of contract.<br>The process of awarding contracts. | a) <u>Ordinary Contracts</u><br>Destroy 6 years after the terms of contract have expired.<br>b) <u>Contracts Under Seal</u><br>Destroy 12 years after the terms of contract have expired. | Signed Contract  | Statutory       |
| 4.13             | Contract Management.<br>Contract operation and monitoring.  | Destroy 2 years after the terms of contract have expired.   | Service Level Agreements<br>Compliance reports<br>Performance reports  | Common Practice |
| 4.14             | Management and amendment of contract.                       | a) <u>Ordinary Contracts</u><br>Destroy 6 years after the terms of contract have expired.<br>b) <u>Contracts Under Seal</u><br>Destroy 12 years after the terms of contract have expired. | Minutes and papers of meetings<br>Changes to requirements<br>Variation forms<br>Extension of contract<br>Complaints<br>Disputes on payment | Statutory       |

## Human Resources

| Reference Number | Function Description   | Retention Action   | Examples of Records   | Notes           |
|------------------|--|--|---|-----------------|
|                  | <b>Personnel Administration</b>  |  |   |                 |
| 5.1              | <p>Personnel administration Summary management systems that allow the monitoring &amp; management of employees in summary form.</p> <p>Information which should be retained :-</p> <p>Name<br/>DOB<br/>Date of Appointment<br/>Work history details<br/>Position/designation<br/>Titles &amp; dates held</p> | <p>Permanent.</p> <p><b>Salary record</b>, duration of employment<br/><b>Timesheets</b>, current year + 6<br/><b>Overpayments</b>, current year + 6<br/><b>E1As</b>, Duration of employment + 6<br/><b>Payslips</b>, Current year + 6<br/><b>Flexitime</b>, Rolling 12 month period unless timekeeping is disputed ceased to apply<br/><b>Salary verification and Benefit Agency enquiries</b>, rolling 6 months.<br/><b>Flexi Adjustments</b> – keep for 12 months from the date submitted.</p> | <p>Employment Register<br/>Permanent Staff<br/>Employment Register<br/>Temporary Staff<br/>Employment Register<br/>Casual Staff<br/>Registers of personnel files<br/>Personal history cards<br/>Superannuation history cards<br/>Salary master record</p> | Common Practice |

| Reference Number | Function Description   | Retention Action   | Examples of Records  | Notes           |
|------------------|--|--|--|-----------------|
| 5.2              | The process of administering employees to ensure that entitlements & obligations are in accordance with agreed employment requirements<br>Records containing superannuation information. | Destroy 6 years from date of last pension payment.<br>From termination/cessation of employment plus 6 years. | Medical clearance<br>Letter of appointment<br>Letter of acceptance<br>Details of assigned duties<br>Probation reports<br>Medical examinations<br>Personal particulars<br>Educational qualifications<br>Declarations of pecuniary interests<br>Secrecy undertakings<br>Employment contracts | Common Practice |
| 5.3              | Records relating to staff working with children.   | Termination + 25 years   |  |                 |
| 5.4              | Leave  | Termination + 6 years<br>Compassionate – 2 years from grant of leave.<br>TOIL – 2 years                      | Maternity/Paternity<br>Compassionate<br>Unpaid<br>TOIL<br>Sick Leave – Self Certificate  |                 |

| Reference Number | Function Description   | Retention Action  | Examples of Records  | Notes           |
|------------------|--|---|--|-----------------|
|                  | <b>Employee and Industrial Relations</b>   |   |  |                 |
| 5.5              | Identification & development of significant decisions concerning industrial matters. | Permanent.<br>Archive once administrative use has concluded.  | Generic agreements and awards<br>Negotiations<br>Disputes<br>Claims lodged | Common Practice |
| 5.6              | Routine liaison for industrial matters.  | 3 years after last action   |  |                 |
| 5.7              | Processing of disciplinary and grievance investigations where proved.                | Oral Warning - 6 months<br>Written Warning - 1 year<br>Final Warning - 18 months<br>The above warnings to be removed & destroyed after the relevant time is "spent".<br>Warnings involving children kept permanently. | Disciplinary   |                 |
| 5.8              | Processing of disciplinary and grievance investigations where unfounded.             | Destroy immediately after the grievance has been proved to be unfounded, or after appeal.   | Disciplinary   | Common Practice |

| <b>Reference Number</b> | <b>Function Description</b>  | <b>Retention Action</b>                     | <b>Examples of Records</b>   | <b>Notes</b>    |
|-------------------------|--|---|--|-----------------|
|                         | <b>Equal Employment Opportunities</b>  |   |  |                 |
| 5.9                     | The process of investigating and reporting on specific cases to ensure that entitlements & obligations are in accordance with agreed Equal Employment Opportunities guidelines & policies. | Destroy 5 years after action was completed. |  | Common Practice |
|                         | <b>Occupational Health</b>   |   |  |                 |
| 5.10                    | The process of checking and ensuring the health of staff.  | Destroy 75 years after DOB.                 | Health questionnaire<br>Medical clearance<br>Adjustment to work place<br>Restrictions<br>Recommendations | Common Practice |
|                         | <b>Health &amp; Safety</b>   |   |  |                 |

| <b>Reference Number</b> | <b>Function Description</b>  | <b>Retention Action</b>  | <b>Examples of Records</b>    | <b>Notes</b>                                 |
|-------------------------|--|--|-------------------------------|--|
| 5.11                    | Inspections and Assessments.<br>Process of inspecting equipment to ensure it is safe.                      | Destroy 6 years from destruction of the equipment.                     | Equipment inspection records. | Statutory                                    |
| 5.12                    | Processing the geo-technical assessments of a quarry.  | When quarry is no longer in use consult or refer to (HSE)              |                               | Statutory                                    |
| 5.13                    | Process of carrying out monitoring to ensure that the process is safe.                                     | Destroy 3 year from last action.                                       | Monitoring results            | Statutory                                    |
| 5.14                    | Process of monitoring areas where employees and persons are likely to have come in contact with asbestos.  | Destroy 40 years from last action.                                     | Property asbestos file        | Common practice based on statutory guidance. |
| 5.15                    | Process of monitoring areas where employees and persons are likely to have come in contact with radiation. | Destroy 50 years from last action or at age 75 - whichever is greater. | Radon Monitoring              |  |
| 5.17                    | Process to ensure safe systems of work.  | Retain until superseded or process ceases +1 year.                     |                               | Common Practice                              |
| 5.18                    | Process to assess the level of risk.   | Destroy 3 years from last assessment.                                  | Risk assessment               | Statutory                                    |

| Reference Number | Function Description   | Retention Action                                     | Examples of Records   | Notes            |
|------------------|--|--|---|------------------|
| 5.19             | Processes that permit work.  | Destroy 1 year from last action                      |   | Common Practice  |
| 5.20             | Process that records injuries to adults.   | Destroy 3 years from closure.                        | Accident Books  | Statutory        |
| 5.21             | Process that records injuries to children.   | Destroy 25 years from closure                        | Accident Books  | Based on statute |
| 5.22             | <b>Recruitment.</b><br>The selection of an individual for an established position. | Destroy 1 year after recruitment has been finalised. | Advertisements<br>Applications<br>Referee reports<br>Interview reports<br>Unsuccessful applicants   | Common Practice  |
| 5.23             | Staff Monitoring.<br>Performance.  | Destroy 5 years after action completed.              | Probation reports<br>Performance plans  | Common Practice  |
| 5.24             | Process of monitoring staff leave and attendance.                                  | Destroy 2 years after action is completed.           | Sick leave<br>Jury service<br>Study leave<br>Special and personal leave<br>Attendance books<br>Flexitime sheets<br>Leave applications<br>Clock on/off cards<br>Annual Leave | Common Practice  |
| 5.25             | Financial reward   | Destroy 7 years after action completed.              |   | Common Practice  |

| <b>Reference Number</b> | <b>Function Description</b>   | <b>Retention Action</b>   | <b>Examples of Records</b>   | <b>Notes</b>    |
|-------------------------|---|---|--|-----------------|
| 5.26                    | Other strategy.   | Destroy 3 years after action completed.   |  | Common Practice |
| 5.27                    | Termination.<br>The process of termination of staff through voluntary redundancy, dismissal and retirement.       | Destroy 6 years after termination.<br>For pension payments records should be destroyed 6 years after last payment.  | Resignation<br>Redundancy (under section 188)<br>Dismissal<br>Retirement | Common Practice |
| 5.28                    | Training and Development.<br>Routine staff training processes, not occupational health & safety or child related. | Destroy 2 years after action completed.   | Individual staff course assessments                                      | Common Practice |
| 5.29                    | Training (child related).   | Destroy 35 years after training completed or last entry.  | Course individual staff assessment<br>Training Registers                 | Common Practice |
| 5.30                    | Training (occupational health and safety training).   | Destroy 50 years after training is completed.<br>Individual course assessment records should be destroyed once the training has been renewed every 3 years. | OH & S training register   | Common Practice |
| 5.31                    | Training (material).  | Destroy 1 year after course is superseded.  |  | Common Practice |

| <b>Reference Number</b> | <b>Function Description</b>   | <b>Retention Action</b>                                      | <b>Examples of Records</b>             | <b>Notes</b>    |
|-------------------------|---|--|--|-----------------|
| 5.32                    | Training (proof of completion).   | Destroy 7 years after action completed.                      | Certificates<br>Awards<br>Exam Results | Common Practice |
|                         | <b>Appointments of Statutory Officers</b>   |  |  |                 |
| 5.33                    | Summary management systems that allow the monitoring & management of statutory officers in summary form.                                | Permanent.<br>Archive once administrative use has concluded. | Monitoring Officer<br>Files/Registers  | Common Practice |
| 5.34                    | The process of administering employees to ensure that entitlements & obligations are in accordance with agreed employment requirements. | Destroy 6 years after departure from employment.             |  | Common Practice |

## Financial Management

| Reference Number | Function Description   | Retention Action   | Examples of Records  | Notes           |
|------------------|--|--|--|-----------------|
|                  | <b>Accounts &amp; Audit</b>  |  |  |                 |
| 6.1              | Reporting.<br>The process that consolidates financial transaction on an annual basis for corporate reporting purposes.   | Permanent.<br>Archive once administrative use has concluded. | Consolidated annual reports<br>Consolidated financial statements<br>Statement of financial position<br>Operating statements<br>General ledger  | Common Practice |
| 6.2              | The process that supports and consolidates financial transactions on a periodic (less than annual) basis, superseding those from the previous period. Does not include journals and subsidiary ledgers and cash books. | Destroy when administrative use has concluded.               | Consolidated monthly & quarterly reports<br>Consolidated monthly & quarterly financial statements<br>Working papers for the preparation of the above<br>Monthly accrual statements<br>Cash flow statements<br>Creditor listings and reports<br>Debtor listings and reports | Common Practice |

| <b>Reference Number</b> | <b>Function Description</b>  | <b>Retention Action</b>   | <b>Examples of Records</b>   | <b>Notes</b> |
|-------------------------|--|---|--|--------------|
|                         | <b>Financial Transactions Management</b>   |   |  |              |
| 6.3                     | Management of the approvals process for purchase, including investigations.              | Destroy 7 years after the end of the financial year in which the records were created.      | Appointments & delegations<br>Audit investigations<br>Arrangements for the provision of goods and/or services  | Statutory    |
| 6.4                     | Identification of the receipt, expenditure and write offs of public monies.              | Destroy 6 years after the conclusion of the financial transaction that the record supports. | Allowances<br>Work orders<br>Invoices<br>Credit card statements<br>Cash Books<br>Receipts<br>Cheque counterfoils<br>Bank statements<br>Subsidiary ledges (annual)<br>Journals (annual)<br>Vouchers | Statutory    |
| 6.5                     | Process involving the provision and support for individuals using public transportation. | Destroy 6 years after the conclusion of the financial transaction that the record supports  | Applications<br>Card Issue<br>Rail warrants  | Statutory    |

| <b>Reference Number</b> | <b>Function Description</b>                                      | <b>Retention Action</b>  | <b>Examples of Records</b>  | <b>Notes</b>    |
|-------------------------|--|--|---|-----------------|
| 6.6                     | Processes that balance & reconcile financial accounts.           | Destroy 2 years after administrative use has concluded                                     | Reconciliation<br>Summaries of accounts   | Common Practice |
| 6.7                     | Taxation Records   | Destroy 5 years after the end of the financial year in which the records were created.     | Taxation records<br>Motor vehicle logs<br>Group certificates  | Statutory       |
| 6.8                     | Process involved in the collection of National Insurance Number. | Destroy 2 years after the employee ceases employment.                                      | Notification & Input records  | Common Practice |
|                         | <b>Payroll</b>   |  |   |                 |
| 6.9                     | Accountable processes relating to payment of employees.          | Destroy 7 years after the conclusion of the financial transaction that the record supports | Authority sheets<br>Payroll deduction authorities<br>Payroll disbursements<br>Employee pay records<br>Employee taxation records | Statutory       |
| 6.10                    | Non - Accountable processes relating to payment of employees.    | Destroy after administrative use has concluded.  | Summary of employees pay reports.   | Common Practice |

| <b>Reference Number</b> | <b>Function Description</b>   | <b>Retention Action</b>  | <b>Examples of Records</b>                               | <b>Notes</b>  |
|-------------------------|---|--|--|---|
|                         | <b>Financial Provisions</b>   |  |  |   |
| 6.11                    | Budgets and Estimates<br>The process of the annual budget.  | Permanent.<br>Archive once administrative use has concluded.   | Annual Budget  | Common Practice<br>Only final version needs to be kept. |
| 6.12                    | The process of developing the annual budget.  | Destroy 2 years after annual budget is adopted by the Council. | Draft budgets<br>Departmental budgets<br>Draft estimates | Common Practice   |
| 6.13                    | The process of reporting which examines the budget in relation to actual revenue and expenditure.       | Destroy after next year's annual budget has been adopted.      | Quarterly statements                                     | Common Practice   |
|                         | <b>Loans</b>  |  |  |   |
| 6.14                    | The activity of borrowing money to enable the Council to perform its functions and exercise its powers. | Destroy 7 years after the loan has been repaid.                | Loan files   | Statutory   |

| <b>Reference Number</b> | <b>Function Description</b>  | <b>Retention Action</b>  | <b>Examples of Records</b>                                   | <b>Notes</b>    |
|-------------------------|--|--|--|-----------------|
| 6.15                    | Summary management of loans.   | Permanent.<br>Archive once administrative use has concluded.     | Loan registers   | Common Practice |
|                         | <b>Council Tax Valuations</b>  |  |  |                 |
| 6.16                    | The valuation of rateable land within a municipal district for the purpose of making rates.  | Permanent.<br>Archive once administrative use has concluded.     | Valuation lists  | Common Practice |
|                         | The valuation of rateable land within a municipal district for the purpose of making rates.  | Destroy 10 years after the year in which the valuation was made. | Correspondence<br>Objections<br>Reports                      | Common Practice |
|                         | <b>Property History</b>  |  |  |                 |
| 6.17                    | The recording of information for rateable properties identifying the person or company rated, including the value of the property. | Permanent.<br>Archive once administrative use has concluded.     | Rate Books<br>Rate Cards<br>Register of rateable properties. | Common Practice |

| <b>Reference Number</b> | <b>Function Description</b>  | <b>Retention Action</b>                                      | <b>Examples of Records</b>  | <b>Notes</b>    |
|-------------------------|--|--|---|-----------------|
|                         | <b>Rates and Local Authority Tax correspondence</b>  |  |   |                 |
| 6.18                    | The activity of corresponding with ratepayers in relation to valuations, rates and charges, objections, submissions, appeals, rate remissions and rates related matters. | Destroy 7 years after last action.                           | Notices<br>Objections<br>Applications<br>Correspondence<br>Rate certificates<br>Notices of acquisition and disposition<br>Rate property files | Common Practice |
|                         | <b>Summary Assets Management</b>   |  |   |                 |
| 6.19                    | See property management for real property assets. See Transport Management for vehicle assets.   |  |   |                 |
| 6.20                    | Summary management reporting on the overall assets of the Council.   | Permanent.<br>Archive once administrative use has concluded. | Schedules of acquisitions<br>Consolidated current asset reports<br>Annual reports<br>Summary of current assets<br>Asset registers             | Common Practice |

| <b>Reference Number</b> | <b>Function Description</b>  | <b>Retention Action</b>   | <b>Examples of Records</b>   | <b>Notes</b>    |
|-------------------------|--|---|--|-----------------|
|                         | <b>Asset Monitoring and Maintenance</b>  |   |  |                 |
| 6.21                    | Management systems that allow the monitoring & management of assets in summary form. | Destroy 7 years after the conclusion of the financial transaction that the record supports. | Subsidiary asset registers   | Common Practice |
| 6.22                    | Process of reporting and reviewing asset status.                                     | Destroy 2 years after administrative use has concluded.                                     | Routine returns and reports on asset status<br>Inventories<br>Stocktaking<br>Surveys of usage<br>Acquisition and disposal reports & proposals. | Common Practice |
| 6.23                    | The process of maintaining assets.   | Destroy 7 years after last action.  | Garden maintenance<br>Cleaning<br>Painting   | Common Practice |
| 6.24                    | The process of maintaining plant and plant equipment.                                | Destroy 7 years after sale or disposal of asset.  | Service records<br>Plant files   | Common Practice |

| <b>Reference Number</b> | <b>Function Description</b>  | <b>Retention Action</b>   | <b>Examples of Records</b>  | <b>Notes</b> |
|-------------------------|--|---|---|--------------|
|                         | <b>Asset Acquisition and Disposal</b>  |   |   |              |
| 6.25                    | Management of the acquisition (by financial lease or purchase) and disposal (by sale or write off) process for assets. | Destroy after 6 years if less than £50,000.<br>Destroy after 12 years if over £50,000, or after all obligations/entitlements are concluded. | Legal documents relating to the purchase/sale<br>Particulars of sale documents<br>Board of survey<br>Leases<br>Applications for leases, licences & rental revision<br>Tender documents<br>Conditions of contracts<br>Certificates of approval | Statutory    |
|                         | <b>Insurance</b>   |   |   |              |
| 6.26                    | Policy Management<br>The summary management of insurance arrangements.   | Permanent.<br>Archive once administrative use has concluded.  | Insurance register  |              |
| 6.27                    | The process of insuring Council officers, property, vehicles and equipment against negligence, loss or damage.         | Destroy 7 years after the terms of the policy have expired.   | Insurance policies<br>Correspondence  |              |

| <b>Reference Number</b> | <b>Function Description</b>  | <b>Retention Action</b>   | <b>Examples of Records</b>                         | <b>Notes</b> |
|-------------------------|--|---|--|--------------|
| 6.28                    | The process of renewing insurance policies.  | Destroy 5 years after the insurance policy has been renewed.      | Insurance policy renewal records<br>Correspondence |              |
|                         | <b>Claims Management</b>   |   |  |              |
| 6.29                    | The process that records insurance claims against the Council or Council officers. | Destroy 7 years after all obligations/entitlements are concluded. | Claims records<br>Correspondence                   |              |

## Property and Land Management

| Reference Number | Function Description  | Retention Action  | Examples of Records  | Notes           |
|------------------|---|---|--|-----------------|
|                  | <b>Property and Land Management</b>   |   |  |                 |
| 7.1              | Reports to management on the overall property of the Council.                             | Permanent.<br>Archive once administrative use has concluded.  | Consolidated property & buildings annual report<br>Summary of leased property<br>Summary of local authority's owned property<br>Site register<br>Register of leases. | Common Practice |
|                  | <b>Property Acquisition and Disposal</b>  |   |  |                 |
| 7.2              | Management of the acquisition (by financial lease or purchase) process for real property. | Retain for life of property plus 12 years.<br>Offer material re major/significant properties for archive. | Plans  | Common Practice |

| <b>Reference Number</b> | <b>Function Description</b>  | <b>Retention Action</b>   | <b>Examples of Records</b>   | <b>Notes</b>    |
|-------------------------|--|---|--|-----------------|
| 7.3                     | Management of the disposal (by sale or write off) process for real property.     | Destroy 15 years after all obligations/entitlements are concluded | Legal documents relating to the sale<br>Particulars of sale documents<br>Board survey<br>Tender documents<br>Conditions of contracts | Common Practice |
|                         | <b>Property Development and Renovation</b>                                       |   |  |                 |
| 7.4                     | The process of managing and undertaking renovations and development of property. |   |  |                 |
| 7.5                     | Management - buildings and estates of special interest.                          | Permanent.<br>Archive once administrative use has concluded.      | Project specifications<br>Plans<br>Installation manuals<br>Certificates of approval  | Common Practice |
| 7.6                     | Management - all other buildings and estates.                                    | Retain for the life of the property or building.                  | Project specifications<br>Plans<br>Installation manuals<br>Certificates of approval  | Common Practice |

| <b>Reference Number</b> | <b>Function Description</b>  | <b>Retention Action</b>   | <b>Examples of Records</b>  | <b>Notes</b>    |
|-------------------------|--|---|---|-----------------|
| 7.7                     | The action process involved in the development and renovation of property. | Destroy 7 years after the conclusion of the transaction that the record supports. | Work orders<br>Tender documents<br>Conditions of contracts  | Common Practice |
|                         | <b>Leasing and Occupancy</b>   |   |   |                 |
| 7.8                     | The process of managing leased property.                                   | Destroy 15 years after the expiry of the lease.                                   | Lease agreements<br>Rental expenditure authorities<br>Valuation queries<br>Applications for leases, licences & rental revision. | Common Practice |
| 7.9                     | The process of managing the occupancy of property.                         | Destroy 7 after the conclusion of the transaction that the record supports.       | Requests for works<br>cleaning etc.   | Common Practice |
|                         | <b>Systems Management</b>  |   |   |                 |

|      |   |   |  |  |
|------|---|---|--|--|
| 7.10 | The internal process to develop or extend the capabilities of a system used to support the activities of the local authority. | Retain for the life of the system then destroy. |  |  |
|------|---|---|--|--|

| Reference Number | Function Description  | Retention Action                   | Examples of Records | Notes |
|------------------|---|------------------------------------|---------------------|-------|
| 7.11             | The process to implement a system used to support the activities of the Council.              | Destroy 7 years after last action. | Implementation plan |       |
| 7.12             | The process to support and administer a system used to support the activities of the Council. | Destroy 5 years after last action  |                     |       |

## General Public Services

| Reference Number | Function Description  | Retention Action   | Examples of Records | Notes |
|------------------|---|--|---------------------|-------|
|                  | <b>Emergency Planning</b>   |  |                     |       |
| 8.1              | Process to develop the emergency/disaster plan for the local community.   | Permanent.<br>Archive once administrative use has concluded. | Major Incident Plan |       |
| 8.2              | Process of recording the results of the test for emergency/disaster plan for the local community.                         | Destroy 10 years after closure.                              |                     |       |
|                  | <b>Major Incident</b>   |  |                     |       |
| 8.3              | Activities that report on all major incidents in the local community, whether the emergency plan has been invoked or not. | Permanent.<br>Archive once administrative use has concluded. |                     |       |
| 8.4              | Activities that report on all minor incidents in the local community.   | Destroy 7 years after closure.                               |                     |       |

| Reference Number | Function Description  | Retention Action  | Examples of Records         | Notes           |
|------------------|---|---|-----------------------------|-----------------|
|                  | Enforcement, Certification and Licensing.   |   |                             |                 |
|                  | Registration, Certification and Licensing.  |   |                             |                 |
| 8.5              | Summary management systems that allow the monitoring, management registration, certification or licence registration requirements to be made in summary form. | Permanent. Archive once administrative use has concluded. | Visual impairment register. | Common Practice |

| Reference Number | Function Description  | Retention Action  | Examples of Records  | Notes  |
|------------------|---|---|--|--|
| 8.6              | The administration of applications, registrations, certificates and licences in relation to the Councils registration requirements. | Destroy 2 years after registration or entitlement lapses. | Applications for animal registration<br>Application for registration of a business premises<br>Applications for release of impounded animals<br>Registers<br>Certificates for registration of: <ul style="list-style-type: none"> <li>• door supervisors</li> <li>• taxi drivers</li> <li>• beauty therapists</li> </ul> Animal movement licences<br>Gaming<br>Fire certification<br>Disabled parking permits<br>Blue badge<br>Registration to sell poison | Statutory. Licences of children's entertainment may be archived or kept for a longer specified time. |

| <b>Reference Number</b> | <b>Function Description</b>   | <b>Retention Action</b>   | <b>Examples of Records</b>  | <b>Notes</b>  |
|-------------------------|---|---|---|---|
| 8.7                     | The process involved in licensing sites for the holding or use of toxic or hazardous substances.<br>(Including petroleum, agricultural chemicals, products of herbicides) | Permanent.<br>Archive 60 years after registration or entitlement lapses.          | Diesel licences<br>Petroleum licences<br>Health and safety licensing<br>Hazardous substances<br>Containment land register/pollution.  | Common Practice   |
| 8.8                     | The process of registration for homes or carers, for the care and support of children, under the responsibility of the Council.   | Permanent.<br>Archive 25 years from closure of centre or discontinuation of care. | Organisation files<br>Child carers files<br>Childcare registration<br>Day care registration<br>Children's home  | Common Practice<br>The responsibility of OFSTED from 1 <sup>st</sup> April 2002 |
| 8.9                     | Notification.<br>The process of issuing notices to citizens with respect to particular responsibilities.  | Destroy 2 years after the matter is concluded.                                    | Fire prevention notices<br>Fire prevention infringement notices<br>Objections to notices<br>Appeals against notices<br>Registration of premises infringement notices<br>Animal impounding notices | Common Practice   |

| Reference Number | Function Description   | Retention Action   | Examples of Records   | Notes           |
|------------------|--|--|---|-----------------|
|                  | <b>Investigation, Inspection and Monitoring.</b>   |  |   |                 |
| 8.10             | The process of investigation, monitoring or inspection laws with the responsibility of the Council.                              | Destroy 7 years from last action.                            | Fire certificate compliance inspections<br>Environmental Health Inspections             | Common Practice |
|                  | <b>Prosecution</b>   |  |   |                 |
| 8.11             | The process of prosecution or sanction of an individual or organisation for failing to comply with their legal responsibilities. | Destroy 7 years from last action.                            | Prosecution/sanction files  | Common Practice |
|                  | <b>Bye-Laws</b>  |  |   |                 |
| 8.12             | Enactment.<br>The process of making local laws.  | Permanent.<br>Archive once administrative use has concluded. | Master set of bye-laws<br>Policy development documents<br>Correspondence<br>Submissions | Common Practice |

| <b>Reference Number</b> | <b>Function Description</b>   | <b>Retention Action</b>  | <b>Examples of Records</b>   | <b>Notes</b>    |
|-------------------------|---|--|--|-----------------|
| 8.13                    | Administration & Enforcement.<br>The process of administering and enforcing bye-laws.                       | Destroy 2 years after certificate has expired, penalty payment has been made, the matter has been finished or correspondence on the matter has ceased. | Applications and certificates<br>Permits<br>Licences<br>Infringement notices<br>Correspondence | Common Practice |
|                         | <b>Waste Management</b>   |  |  |                 |
| 8.14                    | The provision of hard waste removal, destruction and waste reduction services by the Council to ratepayers. |  |  |                 |
| 8.15                    | Collection.<br>The process of arranging the collection or transportation of household waste.                | Destroy 2 years after last action.   |  | Common Practice |
| 8.16                    | The process of arranging the collection or transportation of controlled waste.                              | Destroy 6 years after last action.   |  | Common Practice |

| <b>Reference Number</b> | <b>Function Description</b>   | <b>Retention Action</b>                                      | <b>Examples of Records</b> | <b>Notes</b>     |
|-------------------------|---|--|----------------------------|------------------|
|                         | <b>Disposal of Waste</b>  |  |                            |                  |
| 8.17                    | The summary management of sites used for the disposal of waste within the local authority.            | Permanent.<br>Archive once administrative use has concluded. |                            | Common Practice  |
| 8.18                    | The process of the short-term storage of household waste.   | Destroy 10 years after site closure.                         | Transfer sites             | Common Practice. |
| 8.19                    | The process involved in managing the use, type and amount of waste to be disposed at a specific site. | Permanent.<br>Archive once administrative use has concluded. | Waste site plans           | Common Practice  |

## Planning and Land Use

| Reference Number | Function Description   | Retention Action                               | Examples of Records   | Notes           |
|------------------|--|--|---|-----------------|
|                  | <b>Planning Scheme Development and Amendment</b>   |  |   |                 |
| 9.1              | The activity of developing a vision and strategic directions regarding existing and future land use within the Council. The development of local and town centre plans to ensure the implementation of the Structure plan. | Permanent.<br>Archive once plan is superseded. | Structure plan<br>Local plan<br>Town centre plans<br>Unitary development plans  | Common Practice |
| 9.2              | The activity of consultation to gain approval for the Structure Plan (unitary development plans) or Local Plans.   | Permanent.<br>Archive after 3 years.           | Consultation documents and replies.<br>Inquiries and objections made by members of the public<br>Public inquiry documents | Common Practice |

| <b>Reference Number</b> | <b>Function Description</b>  | <b>Retention Action</b>  | <b>Examples of Records</b>  | <b>Notes</b>    |
|-------------------------|--|--|---|-----------------|
| 9.3                     | The activity of recording information on historical buildings, monuments and ecology at a specific site.               | Permanent.<br>Archive once administrative use has concluded.                             | Sites and Monuments records<br>Ecological records<br>Species records<br>Historically listed buildings<br>Definitive map<br>Commons registration   | Common Practice |
| 9.4                     | The activity of establishing planning scheme controls and providing for them to be amended.                            | Permanent.<br>Archive once administrative use has concluded.                             | Successful waste planning applications<br>Successful mineral planning applications<br>Amendments to definitive map<br>Mineral register<br>Applications for mineral extraction<br>Land use surveys | Common Practice |
| 9.5                     | The process of receiving, considering and responding to submissions and objections to planning schemes and amendments. | Destroy 15 years after decisions.<br>Controversial/High profile schemes may be archived. | Waste planning application consultation<br>Mineral planning applications consultation<br>Objections<br>Inquiries - Public etc<br>Archaeological - advice/conditions.                              | Common Practice |

| <b>Reference Number</b> | <b>Function Description</b>   | <b>Retention Action</b>  | <b>Examples of Records</b>   | <b>Notes</b>    |
|-------------------------|---|--|--|-----------------|
| 9.6                     | The process of controlling development of areas through applications for planning permission. | Transfer planning applications register to archive once the register has been completed (or at regular intervals if it is held electronically) | Planning application files and plans<br>Correspondence relating to any objections<br>Hearing papers<br>Planning application register | Common Practice |
| 9.7                     | The process of maintaining the countryside and developing open spaces for public amenity.     | Policy files archive. Other files destroy 7 years after administrative use has concluded.  | Tree preservation orders<br>Country parks and nature reserves development plans and correspondence. Land purchase agreements.        | Common Practice |
|                         | <b>Planning Scheme Regulation</b>   |  |  |                 |
| 9.8                     | The summary management of planning scheme regulations.  | Permanent. Archive once administrative use has concluded.  | Building Control registers.  | Common Practice |
| 9.9                     | Process of regulating the planned use of land or buildings.                                   | Destroy 15 years after closure.  |  | Common Practice |

| <b>Reference Number</b> | <b>Function Description</b>  | <b>Retention Action</b>   | <b>Examples of Records</b>  | <b>Notes</b>    |
|-------------------------|--|---|---|-----------------|
| 9.10                    | The process of approving building applications in relation to listed or other significant buildings. | Permanent.<br>Archive once administrative use has concluded.          | Building files<br>Plans<br>Specifications<br>Correspondence<br>Applications<br>Permits<br>Certificates                | Common Practice |
| 9.11                    | The process of approving buildings applications, for all other buildings.                            | Destroy 15 years after construction completed.                        | Buildings files<br>Plans<br>Specifications<br>Correspondence<br>Applications<br>Permits<br>Certificates<br>Objections | Common Practice |
| 9.12                    | The process of inspecting building work for the purpose of ensuring compliance.                      | Destroy 10 years after the issues of certificate of final inspection. | Certificate of final inspection<br>Building inspection records<br>Diaries   | Common Practice |
| 9.13                    | The process of enforcing building or land regulations.   | Destroy 3 years after compliance with enforcement notice.             |   |                 |

| <b>Reference Number</b> | <b>Function Description</b>   | <b>Retention Action</b>  | <b>Examples of Records</b>   | <b>Notes</b>    |
|-------------------------|---|--|--|-----------------|
|                         | <b>Planning and Development</b>   |  |  |                 |
| 9.14                    | The activity of developing a vision and strategic directions regarding existing transport and infrastructure within the area. | Permanent.<br>Archive once administrative use has concluded.           | Structure Plan<br>Local transport plan                             | Common Practice |
| 9.15                    | The activity of recording location of highways, bridle paths and rights of way.   | Permanent.<br>Archive once administrative use has concluded            | Definitive map<br>Correspondence concerning enquiries and disputes | Common Practice |
| 9.16                    | The activity of establishing planning scheme controls and providing for them to be amended and modified.                      | Permanent.<br>Archive once administrative use has concluded            | Amendments to definitive map<br>Road adoption                      | Common Practice |
| 9.17                    | The process of receiving, considering and responding to submissions and objections to planning scheme and amendments.         | Destroy 7 years after decision.<br>High profile cases can be archived. | Enquiries, consultation documents, objections and correspondence.  | Common Practice |

| Reference Number | Function Description   | Retention Action   | Examples of Records | Notes           |
|------------------|--|--|---------------------|-----------------|
| 9.18             | The process of enforcing infrastructure and transport regulations. | Destroy 50 years after enforcement notice.<br>Or destroy 3 years after compliance with enforcement notice. |                     | Common Practice |

## Infrastructure and Transport

| Reference Number        | Function Description   | Retention Action  | Examples of Records        | Notes           |
|-------------------------|--|---|----------------------------|-----------------|
|                         | <b>Traffic Management</b>  |   |                            |                 |
| 10.1                    | The activity of planning, and programming the continued flow, diversion or reduction of traffic.       | Destroy 7 years after action is completed.                | Traffic orders             | Common Practice |
|                         | <b>Design and Construction</b>   |   |                            |                 |
| 10.2                    | The activity of planning, designing, programming and constructing roads, streets, bridges and tunnels. | Permanent. Archive once administrative use has concluded. |                            | Common Practice |
| <b>Reference Number</b> | <b>Function Description</b>  | <b>Retention Action</b>                                   | <b>Examples of Records</b> | <b>Notes</b>    |

|      |  |                                    |  |                 |
|------|--|------------------------------------|--|-----------------|
|      | <b>Infrastructure Management and Maintenance</b>   |                                    |  |                 |
| 10.3 | The activity of providing municipal services in relation to infrastructure within the Council. | Destroy 7 years after last action. | <p>Street files<br/>Street records<br/>Requests for:</p> <ul style="list-style-type: none"> <li>• Hedge clipping</li> <li>• Tree planting</li> <li>• Naming of streets</li> <li>• Numbering of houses</li> <li>• Street load limits</li> <li>• Street signs</li> <li>• Bus shelters</li> <li>• Applications to dig up pavements</li> <li>• HGV applications</li> <li>• Advice/comment</li> <li>• Level crossings</li> <li>• Right of ways</li> <li>• Roundabouts</li> <li>• Traffic calming measures</li> <li>• Street lighting</li> </ul> | Common Practice |

| Reference Number | Function Description | Retention Action | Examples of Records | Notes |
|------------------|----------------------|------------------|---------------------|-------|
|------------------|----------------------|------------------|---------------------|-------|

|      |   |  |   |                 |
|------|---|--|---|-----------------|
|      | <b>Road Maintenance</b>   |  |   |                 |
| 10.4 | The activity of maintaining and repairing roads, streets, bridges, bridle paths, rights of way and tunnels. | Destroy 12 years after action is completed.                |   | Common Practice |
|      | <b>Public Transport</b>   |  |   |                 |
| 10.5 | Services.<br>The activities involved in the management and provision of public transport.                   | Destroy 3 years after superseded or last action.           | Timetables and routes<br>Maps<br>Fares<br>Customer and industry liaison   | Common Practice |
|      | <b>Transport Management</b>   |  |   |                 |
| 10.6 | The process of acquisition and disposal of vehicles through lease of purchase.                              | Destroy 7 years after the disposal of the vehicle.         | Leases<br>Contracts<br>Quotes<br>Approvals<br>Fleet authorisation numbers |                 |
| 10.7 | The process of managing allocation & maintenance of vehicles.   | Destroy 7 years after the sale or disposal of the vehicle. | Allocations & authorisations for vehicles maintenance.                    |                 |

| <b>Reference Number</b> | <b>Function Description</b>             | <b>Retention Action</b>                                    | <b>Examples of Records</b> | <b>Notes</b> |
|-------------------------|---|--|----------------------------|--------------|
| 10.8                    | The process of recording vehicle usage. | Destroy 3 years after the sale or disposal of the vehicle. | Vehicle usage reports      |              |
| 10.9                    | The process of recording driver usage.  | Destroy 7 years after closure.                             | Vehicle log book.          |              |

| Reference Number | Function Description   | Retention Action   | Examples of Records                    | Notes |
|------------------|--|--|--|-------|
| <b>11</b>        | <b>Public Relations</b>  |  |  |       |
| 11.1             | Publications<br>The process of designing or setting information for publication.             | Destroy 3 years from last action.  |  |       |
| 11.2             | The published work of the local authority.   | Destroy after administrative use is concluded.<br>One copy should go directly to the publications library. |  |       |
| 11.3             | Media Relations<br>Process of interaction with the media.                                    | Destroy 3 years from closure.  |  |       |
| 11.4             | Media publications concerning local authority.   | Permanent.   | Press Cuttings<br>Media Reports        |       |
| 11.5             | Marketing<br>The process of developing and promoting local authority's campaigns and events. | Permanent  |  |       |
| 11.6             | Civic and Royal Events<br>The recording of ceremonial events and civic occasions.            | Permanent.   | Visitors book<br>Photographs<br>Videos |       |

| Reference Number | Function Description  | Retention Action  | Examples of Records | Notes |
|------------------|---|---|---------------------|-------|
| 11.7             | The process of organising a ceremonial event or civic occasions | Destroy 7 years after administrative use has concluded. |                     |       |

## Internal Audit

| Reference Number | Function Description        | Retention Action   | Examples of Records   | Notes |
|------------------|-----------------------------|--|---|-------|
| <b>12</b>        | <b>Internal Audit</b>       |  |   |       |
|                  | <b>Reports</b>              |  |   |       |
| 12.1             | Audit Reports               | 6 years  | Includes interim reports where they have included the examination of long-term contracts. |       |
| 12.2             | Report Papers               | 5 years after legal proceedings have been completed.       | Papers used in the course of a fraud investigation.                                       |       |
| 12.3             | Any other reports           | 3 years  |   |       |
|                  | <b>Undertakings</b>         |  |   |       |
| 12.4             | Terms of reference          | 3 years  |   |       |
| 12.5             | Programmes/plans/strategies | When superseded or 1 year after the last date of the plan. |   |       |
| 12.6             | Correspondence              | 3 years  |   |       |
| 12.7             | Minutes of meetings.        | 3 years  | Minutes & related papers including those of the Audit Committee.                          |       |
| 12.8             | Working papers              | 3 years  |   |       |

| Reference Number | Function Description                                 | Retention Action | Examples of Records | Notes |
|------------------|--|------------------|---------------------|-------|
|                  | <b>Other Records</b>                                 |                  |                     |       |
| 12.9             | Internal Audit Guides                                | When superseded  |                     |       |
| 12.10            | Manual & Guides relating to departmental procedures/ | When superseded  |                     |       |
| 12.11            | Local Auditing Standards                             | When superseded  |                     |       |
| 12.12            | Annual reports to Accounting Officers                | 3 years          |                     |       |

## Project Records

| Reference Number | Function Description  | Retention Action   | Examples of Records   | Notes |
|------------------|---|--|---|-------|
| <b>13</b>        | <b>Project Start Up</b>   |  |   |       |
| 13.1             | Project Proposals   | 10 years for approved projects<br>5 years for rejected projects. | Include those which have be approved, rejected or deferred. |       |
| 13.2             | Project Initiation Documents  | 10 years after completion of the project.                        | PIDs<br>Business Cases<br>Supplementary Information         |       |
| 13.3             | Feasibility Studies   | 10 years after issue<br>2 years after date of the last paper.    | Reports<br>Working papers                                   |       |
| 13.4             | Plans & Specification   | 10 years after project completion                                | Operational Requirements<br>Technical Requirements          |       |
|                  | <b>Contractors</b>  |  |   |       |
| 13.5             | Contractors<br>Approved nominations<br>Rejected nominations<br>Removals/Suspensions | 1 year after issue<br><br>6 years after the end of the project   |   |       |
|                  |   |  |   |       |

| Reference Number | Function Description                | Retention Action                     | Examples of Records                          | Notes                                     |
|------------------|-------------------------------------|--------------------------------------|--|---|
|                  | <b>Project Management</b>           |                                      |  |   |
| 13.6             | Tender Boards                       | 5 years                              | Minutes                                      |   |
| 13.7             | Maps/Plans/Drawings/<br>Photographs | 10 years after project<br>completion |  | Major Projects may be<br>kept permanently |
| 13.8             | Project Boards                      | 5 years                              | Minutes<br>Correspondence                    |   |
| 13.9             | Reports                             | 5 years                              | Stage Assessments<br>Reviews<br>GANTT Charts | For major projects keep<br>permanently    |

