



Data Retention Guidelines

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Part 1. Establishment of the Guidelines

1.1.0 Scope of the Guidelines

- 1.1.1 These Retention Guidelines have been adapted from those issued by the Record Management Society of Great Britain. The original guidelines were issued to support local authorities in the areas of Data Protection, Freedom of Information and the Local Government Act.
- 1.1.2 The Guidelines are intended to be 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.
- 1.1.3 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.
- 1.1.4 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.
- 1.1.5 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.

1.2.0 Limitation of Scope

- 1.2.1 These Guidelines should only be used for the disposal of common functional and housekeeping records as described in the Guidelines.

1.3.0 Objectives of the Retention Guidelines

- 1.3.1 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.
 - Promote improved Records Management practices within local government.

1.4.0 Transfer of Records to Archival Storage

- 1.4.1 Local authorities wishing to transfer permanent records to archival custody should contact the Archivist/Local History Officer at Norfolk County Record Office for further information on transfer procedures. The identification of classes of records here as suitable for archives are for guidance only.
- 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 ie the data is anonymised. It is the responsibility of the Archivist to ensure that this is so.
- 1.4.3 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.

- 1.4.4 '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.
- 1.4.5 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.

1.5.0 Destruction of Records

- 1.5.1 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.
- 1.5.2 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 your record management service or legal department 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.

1.6.0 Standard Operating Procedure (SOP)

- 1.6.1 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 must still contain reference and instructions referring to them.
- 1.6.2 SOP usually applies to information that is duplicated, unimportant or only of short-term facilitative value. Unimportant records or information include:
- '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, plans or advertising material
 - out-of-date distribution lists
 - working papers which lead to a final report
- 1.6.3 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.
- 1.6.4 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.

1.7.0 Reviewing the Schedule

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

2.0.0 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. Triggers for closure of a file include: reaching an unmanageable size; covering a period of 'x' years or more; no records added for 'x' period of time; no action taken after 'x' period of time.
- 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 the local authority's Record Office.

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Democratic Processes

Elections

Preparation

1.1 Summary certification of those eligible to vote

Permanent. Offer to Archivist after administrative use is concluded

- Electoral Register **Common practice**

1.2 Voting (Local elections only)

Destroy **6** months from close of poll

- Ballot papers **Statutory**

Results

1.3 Declaration of results (local elections only)

Destroy **6** months from date of election

- Consolidated returns of votes received **Statutory**

Council and Committee Meetings

1.4 The process of preparing business for Council consideration and making the record of discussion, debate and resolutions

Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded

- Council minutes **Common practice**
- Council agenda and business papers
- Council notice papers and proceedings
- Indexes
- Committee minutes
- Registers of delegations to Special Committees

Retention Action Examples of Records Notes

1.5 Minute taking Destroy after date of confirmation of the minutes

- Draft/rough minutes **Common practice**
- Audio tapes

Partnership, Agency and External Meetings

1.6 The process of preparing business for partnership and agencies consideration and making the record of discussion, debate and resolutions, where the local authority legally **owns** the record.

Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded

- Documents establishing the committee **Common practice**
- Agendas
- Minutes
- Council reports
- Recommendations
- Supporting documents such as Council briefing and discussion papers

1.7 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

- Documents establishing the committee
- Reports
- Recommendations
- Supporting documents such as briefing and discussion papers.

Common practice

Honours and Submissions

1.8 The process of preparing of honours submission Destroy **5** years after last action

Honours nomination form

- Covering documentation
- Letters of support
- Referral for comment from lord lieutenant

Common practice

POLITICAL PARTIES PAPERS

1.9 The process of undertaking representation of the local authority - local authority representatives

Destroy **3** years after last action

- Leader of opposition papers
- Leader of council papers

Common practice

Management and Administration

Corporate Planning and Reporting

2.1 The corporate planning and reporting activities of local authorities

Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded

- 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

Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is 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 resolutions

Destroy **3** years from closure

Common practice

2.4 The process of preparing business for Unit/Team consideration and making the record of discussion, debate and resolutions

Destroy **3** years from closure

Common practice

Statutory returns

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

Policy, Procedures, Strategy and Structure

2.6 Activities that develop policies, procedures, strategies and structures for the local authorities

Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded.

- Policy, procedure, precedent, instructions
- Organisation charts
- Records relating to policy implementation and development
- Education plan
- Asset management plan
- Community strategy
- Community plan
- Community safety plan

Common practice

2.7 The process of monitoring and reviewing strategic plans, policies or procedure to assess their compliance with guidelines

Destroy **5** years from closure

Common practice

Public Consultation

2.8 The process of consulting the public and staff in the development of significant policies of the local authority

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 local authority

Destroy **1** year from closure

Common practice

Information Management

2.10 The activity whereby standards, authorities, restraints and verifications are introduced and maintained to manage information effectively

Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded

- Classification schemes
- Registers
- Indexes
- Authorised lists of file headings

Common practice

2.11 The management of collections of records transferred to the archives

Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded

- Accession registers
- Depositor files

Common practice

2.12 The process that records the disposal of records

Destroy **12** years after last action

- Disposal certificates

**Common practice based on
Limitation Act**

Enquiries and Complaints

2.13 The management in summary form of enquiries and complaints directed to council

Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded.

- Indexes
- Registers

Common practice

2.14 The management of enquiries, submissions and complaints which result in significant changes to policy or procedures

Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded

- Reports
- Returns
- Correspondence

Common practice

2.15 The management of detailed responses on council actions, policy or procedures

Destroy **6** years after administrative use is concluded

- Reports
- Returns
- Correspondence
- Ombudsman

Common practice

2.16 The management of routine responses on council actions, policy or procedures

Destroy **2** years after administrative use is concluded

- Printed material
- Form letters

Common practice

Quality and performance management

2.17 The process of monitoring or reviewing the quality, efficiency, or performance of a local authority service or unit

Destroy **5** years from closure

- Best Value Review

Common practice

2.18 The process of assessing the quality, efficiency, or performance of a local authority service or unit

Destroy **2** years from closure

- Assessment form

Common practice

Public relations - Publications

2.19 The process of designing setting information for publication

Destroy **3** years from last action

Common practice

2.20 The published work of the local authority

Destroy after administrative use is concluded

Note: One copy from the initial print run should go directly to the archive.

Common practice

Media Relations

2.21 Process of interaction with the media

Destroy **3** years from closure

Common practice

2.22 Media publications concerning local authorities

Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded

- Press cuttings
- Media reports

Common practice

Marketing

2.23 The process of developing and promotion of local authorities campaigns and events

Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded

Common practice

Civic and Royal Events

2.24 The recording of ceremonial events and civic occasions

Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded

- Visitors' book
- Audio tapes
- Video tapes
- Photographs

Common practice

2.25 The process of organising a ceremonial event or civic occasions

Destroy **7** years after administrative use is concluded

Common practice

Client Services

Residential Homes

3.24 Summary management systems that manage adults housed by the local authority

Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded

- Adults home Registers
- Admissions registers
- Discharge registers

Common practice

3.25 Documents relating to the operation of the establishment

25 years from closure of file

- Diaries
- Rotas
- Daily logs
- Secure unit records

Common practice

Housing Provision

The process of the allocation and management of welfare housing by the local authority and the associated issues of homelessness

3.26 The registration of individuals housing applications. **Permanent. Offer to Archivist.**

- Council housing register

Common practice

3.27 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

- Council housing Application forms and supporting material **Common practice**
- Application for transfer of tenancy and supporting papers

3.28 The process for managing the tenancy of an individual tenant

Destroy **12** years after termination of tenancy

These may need to be kept for a longer period of time in order to prove that the tenant was actually housed properly by the authority

- 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

Common practice

Legal and Contracts

Litigation

4.1 The process of managing, undertaking or defending for or against litigation on behalf of the local authority

Destroy **7** years after last action. Major litigation – **offer to Archivist for review**

- Criminal case file
- Childcare case file
- Civil case file
- correspondence

Common practice

Advice

4.2 The process of providing legal advice on a point of law.

Destroy **3** years after last action – unless a major precedent, then offer to Archivist for review

Common practice

Agreements

4.3 Process of agreeing terms between organisations

Note : this does not include contractual agreements

Mainly to do with agreements between public bodies, not in regard to contracts

Depends on value of agreement

Destroy **6** years after agreement expires or is terminated

- Concordat

Common practice

Conveyance (see also **Property Acquisition and Disposal**)

4.4 The process of changing ownership of land or property

Destroy **12** years after closure

- Conveyancing files

Statutory

Legal and Contracts

Contracts and Tendering - Pre Contract Advice

4.5 The process of calling for expressions of interest

Destroy **2** years after contract let or not proceeded with

- Expressions of Interest

Common practice

Specification and Contract Development

4.6 The process involved in the development and specification of a contract

Ordinary Contracts:

Destroy **6** years after the terms of contract have expired

Contracts Under Seal:

Destroy **12** years after the terms of contract have expired

- Tender specification

Note: For project files containing drafts leading to a final version these records can be destroyed.

Statutory

Tender Issuing and Return

4.7 The process involved in the issuing and return of a tender

Destroy **1** year after start of contract

- Opening notice
- Tender envelope

Common practice

Evaluation of Tender

4.8

- Ordinary Contracts: Destroy **6** years after the terms of contract have expired
- Contracts Under Seal: Destroy **12** years after the terms of contract have expired
- Evaluation criteria

Statutory

4.9 Successful tender document

Ordinary Contracts: Destroy **6** years after the terms of contract have expired

- Contracts Under Seal: Destroy **12** years after the terms of contract have expired
- Tender documents
- Quotations

Statutory

4.10 Unsuccessful tender documents

Destroy 1 year after start of contract

- Tender documents
- Quotations

Common practice

Post Tender Negotiation

4.11 The process in negotiation of a contract after a preferred tender is selected

Destroy 1 year after the terms of contract have expired

- Clarification of contract
- Post tender negotiation minutes

Common practice

Awarding of contract

4.12 The process awarding of contract

Ordinary Contracts: Destroy 6 years after the terms of contract have expired

Contracts Under Seal: Destroy 12 years after the terms of contract have expired

- Signed contract

Statutory

Contract Management

4.13 Contract operation and monitoring

Destroy 2 years after the terms of contract have expired

- Service Level Agreements
- Compliance reports
- Performance reports

Common practice

4.14 Management and amendment of contract

(a) Ordinary Contracts

Destroy 6 years after the terms of contract have expired

(b) Contracts Under Seal

Destroy 12 years after the terms of contract have expired

- Minutes and papers of meetings
- Changes to requirements
- Variation forms
- Extension of contract
- Complaints
- Disputes on payment

Statutory

Tenancy Agreements

4.15 The process of awarding tenancies in welfare housing

a) Ordinary Tenancy

Destroy 6 years after the terms of agreement have expired

b) Tenancy Under Seal

Destroy 12 years after the terms of agreement have expired

- Signed tenancy agreements
- Sealed tenancy agreements

Statutory

Human Resources

Personnel administration

6.1 Summary management systems that allow the monitoring & management of employees in summary form

Note: The summary information that this record class attempts to capture is:-

Name

DOB

Date of appointment
Work history details
Position/designation
Titles & dates held

Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded

- Employment Register – Permanent Staff
- Employment Register – Temporary Staff
- Employment Register – Casual Staff
- Registers of personnel files
- Personal History cards
- Superannuation history card
- Salary master record

Common practice

6.2 The process of administering employees to obligations are in accordance with agreed employment requirements

Destroy **6** years from date of last pension payment

- Records containing superannuation information
- Medical clearance
- Letter of appointment
- Letter of acceptance
- Details of assigned duties
- Probation reports
- Medical examinations
- Personal particulars
- Educational qualifications
- Declarations of pecuniary interests
- Secrecy undertakings
- Employment contracts

Common practice

6.3 Records relating to staff working with children
Termination + **25** years

6.4 All other records Termination + **6** years

Employee and Industrial Relations

6.5 Identification & development of significant directions concerning industrial matters

Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded

- Generic agreements and awards
- Negotiations
- Disputes
- Claims lodged

Common practice

6.6 Liaison processes of minor and routine industrial matters

Destroy **2** years after administrative use is concluded

- Daily industrial relations management

Common practice

6.7 Processing of disciplinary and grievances investigations where proved

Oral Warning – **6 months**

Written Warning - **1 year**

Final Warning - **18 months**

The above warnings to be removed & destroyed after the relevant time has 'spent'.

Warnings Involving Children – Placed on personal file permanently

- Disciplinary

For all practical purposes this function would not be subject to records management, except for Warnings Involving Children, which remain on the personal file permanently for reference purposes. (See 29.1.3 & 29.1.4)

6.8 Processing of disciplinary and grievances investigations where unfounded

Destroy immediately after the grievance has been found to be have been

unfounded; or after appeal

- Disciplinary

Common practice

Equal Employment Opportunities

6.9 The process of investigation and reporting on specific cases to ensure that entitlements & obligations are in accordance with agreed Equal Employment Opportunities guidelines policies

Destroy **5** years after action completed

Common practice

Occupational Health

6.10 The process of checking and ensuring the health of staff

Destroy **75** years after DOB

- Health questionnaire
- Medical clearance
- Adjustment to work place
- Restrictions
- Recommendations

Common practice

Recruitment

6.11 The selection of an individual for an established position

Destroy **1** year after recruitment has been finalised

(For letter of appointment for successful candidate use employment conditions)

- Advertisements
- Applications
- Referee reports
- Interview reports
- Unsuccessful applicants

Common practice

Staff Monitoring

6.12 Performance

Destroy **5** years after action completed

- Probation reports
- Performance plans

Common practice

6.13 Process of monitoring staff leave and attendance

Destroy **2** years after action completed

- Sick leave
- Jury service
- Study leave
- Special and personal leave
- Attendance books
- Flexitime sheets
- Leave applications
- Clock on/off cards
- Annual leave

Common practice

6.14 Financial reward
Destroy **7** years after action completed

Common practice

All records relating to actual payments are dealt with under finance

6.15 Other strategy
Destroy **3** years after action completed

Common practice

Termination

6.16 The process of termination of staff through voluntary redundancy, dismissal and retirement

Destroy **6** years after termination

If a pension is paid then records should be destroyed **6** years after last payment of pension

- Resignation
- Redundancy (Section 188)
- Dismissal
- Death
- Retirement

Common practice

Training and Development

6.17 Routine staff training processes, not occupational health and safety or children related

Destroy **2** years after action completed

- Course individual staff assessment

Common practice

6.18 Training (concerning children)
Destroy **35** years after training completed, or last entry

- Course individual staff assessment
- training register

Common practice

6.19 Training (occupational health and safety training)
Destroy **50** years after training completed Individual course assessment records should be destroyed once the training has been renewed every 3 years

- OH&S training register

Common practice

6.20 Training (materials)
Destroy **1** year after course is superseded

Common practice

6.21 Training (proof of completion)
Destroy **7** years after action completed

- Certificates
- Awards
- Exam results

Common practice

Appointments of Statutory Officers

6.22 Summary management systems that allow the monitoring & management of statutory officers in summary form

Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded

- Magistrates register

Common practice

6.23 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

6.24 The appointment of an individual for a statutory position

Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded

- Appointment Files

Common practice

6.25 The process of selection of an individual for an statutory position

Destroy **2 years** after date of appointment

- Vacancies & applications records
- Interview notes
- Prospective staff records
- Registers of applicants
- Unsuccessful applications records

Common practice

Financial Management

Accounts & Audit Reporting

7.1 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

- Consolidated annual reports
- Consolidated financial statements
- Statement of financial position
- Operating statements
- General ledger

Common practice

7.2 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 is concluded

- Consolidated monthly & quarterly reports
- Consolidated monthly & quarterly financial statements
- Working papers for the preparation of the above
- Monthly accrual statements
- Cashflow statements
- Creditor listings and reports
- Debtor listings and reports

Common practice

Financial Transactions Management

7.3 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
- Audit investigations
- Arrangements for the provision of goods and/or services

Statutory

7.4 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

This period may be reduced with the agreement of Customs and Excise and/or the Inland Revenue

- Allowances
- Work orders
- Invoices
- Credit card statements
- Cash books
- Receipts
- Cheque counterfoils
- Bank statements
- Subsidiary ledgers (annual)
- Journals (annual)
- Vouchers

Statutory

7.5 Process involving the individuals using public transportation
 Destroy **6** years after the conclusion of the financial transaction that the record supports

- Applications
- Card issue
- Rail warrants

Statutory

7.6 Processes that balance & reconcile financial accounts
 Destroy **2** years after administrative use is concluded

- Reconciliation
- Summaries of accounts

Common practice

7.7 Taxation Records

Destroy **5** years after the end of the financial year in which the records were created

- Taxation records
- Motor vehicle logs
- Fringe benefits tax records
- Group certificates

Statutory

7.8 Processes involved in the collection of National Insurance Number
Destroy **2** years after the employee ceases employment

- Notification & input records

Common practice

Payroll

7.9 **Accountable** processes relating to payment of employees

Destroy **7** years after the conclusion of the financial transaction that the record supports

- Authority sheets
- Payroll deduction authorities
- Payroll disbursement
- Employee pay records
- Employee taxation records

Statutory

7.10 **Non-accountable** processes relating to payment of employees

Destroy after administrative use is concluded

- Summary employee pay reports

Common practice

Financial Provisions Budgets And Estimates

7.11 The process of finalising local authorities' annual budget

Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded

- Annual budget

Common practice

Only the final version of the annual budget needs to be kept

7.12 The process of developing local authorities' annual budget

Destroy **2** years after annual budget adopted by local authorities

- Draft budgets
- Departmental budgets
- Draft estimates

Common practice

7.13 The process of reporting which examines the budget in relation to actual revenue and expenditure

Destroy after **next** year's annual budget has been adopted by Local Authorities

- Quarterly statements

Common practice

Loans

7.14 The activity of borrowing money to enable a local authority to perform its functions and exercise its powers

Destroy **7** years after the loan has been repaid

- Loan files

Statutory

7.15 Summary management of loans

Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded

- Loans registers

Common practice

Housing

The process of offering financial help with welfare housing provision and maintenance

7.16 Mortgages

Last payment + **6** years if signed
Last payment +**12** years if sealed

- Mortgage agreements
- Correspondence

Statutory

7.17 "Right to Buy"

Destroy **12** years after sale of house

- Sale documents
- Agreement concerning sale

Common practice

7.18 Rent Payments

Destroy **7** years after the end of the financial year in which created

- Rent books
- Correspondence concerning payment
- Requests for payment

Statutory

7.19 Home Improvement Grants

For grants under £50,000 - destroy **6** years after last payment.

For grants over £50,000 - destroy **12** years after last payment

Where plans and detailed drawings included **offer to Archivist.**

- Agreement to pay loan
- Details of payments
- Correspondence relating to loan

Statutory

Council Tax Valuation

7.20 The valuation of rateable land within a municipal district for the purpose of the making of the rate

Valuation lists - Permanent. Offer to Archivist for review

Destroy **10** years after the year in which the valuation was made

- Valuation lists
- Correspondence
- Objections
- Reports

Common practice

Property History

7.21 The recording of information for rateable properties identifying the person or company rated, including details of the value of the property.

Note: Records containing accounting information primarily, and not being a source of property history, should be disposed of according to the appropriate record class within the **Accounts & Audit** function.

Permanent. Offer to Archivist for review. Transfer to Place of Deposit after administrative use is concluded

- Rate Books
- Rate Cards
- Register of Rateable Properties

Common practice

Rates and Local Authorities Tax Correspondence

7.22 The activity of corresponding with ratepayers in relation to valuations, rates and charges, objections, submissions, appeals, rate remissions and other rates related matters

Destroy **7** years after last action

- Notices
- Objections
- Applications
- Correspondence
- Rate certificates
- Notices of acquisition and disposition
- Rate property files

Common practice

Summary Assets Management

7.23 See **Property Management** for real property assets.

See **Transport Management** for vehicle assets.

7.24 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

- Schedules of acquisitions
- Consolidated current asset reports
- Annual reports
- Summary of current assets
- Asset registers

Common practice

Asset Monitoring and Maintenance

7.25 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

7.26 Process of reporting and reviewing assets status

Destroy **2** years after administrative use is concluded

- Routine returns and reports on asset status
- Inventories
- Stocktaking
- Surveys of usage
- Acquisition and disposal reports & proposals

Common practice

7.27 The process of maintaining assets

Destroy **7** years after last action

- Garden maintenance
- Cleaning
- Painting

Common practice

7.28 The process of maintaining plant and equipment

Destroy **7** years after sale or disposal of asset

- Service records
- Plant files

Common practice

Asset Acquisition and Disposal

7.29 Management of the acquisition (by financial lease or purchase) and disposal (by sale or write off) process for assets

Destroy **6** years, if under £50,000 or **12** years if over £50,000, after all obligations/entitlements are concluded

- Legal documents relating to the purchase/sale
- Particulars of sale documents
- Board of survey
- Leases
- Applications for leases, licences & rental revision
- Tender documents
- Conditions of contracts
- Certificates of approval

Statutory

Property and Land Management

Property and Land Management

8.1 Reports to management on overall property of the local authority

Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded

- Consolidated property & buildings annual reports
- Summary of leased property
- Summary of local authority's owned property
- Site register
- Register of leases

Common practice

Property Acquisition and Disposal

[see also **Conveyance**]

8.2 Management of the acquisition (by financial lease or purchase) process for real property (see also 21.1.0)

Retain for life of property or building plus 12 years.

Offer material re major/significant properties to **Archivist for review**

- Plans

Common practice

8.3 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**

- Legal documents relating to the sale
- Particulars of sale documents
- Board of Survey
- Tender documents
- Conditions of contracts

Common practice

Property Development and Renovation

8.4 The process of managing and undertaking renovations and development of property

8.5 Management of buildings and estates of "special interest"

Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded

- Project specifications
- Plans
- Installation manuals
- Certificates of approval

Common practice

8.6 Management of all other buildings and estates

Retain for life of property or building

- Project specifications
- Plans
- Installation manuals
- Certificates of approval

Common practice

For **asbestos** see Health and safety under **General Public Services**

8.7 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
- Tender documents
- Conditions of contracts

Common practice

Leasing And Occupancy

8.8 The process of managing leased property

Destroy **15** years after the expiry of the lease

- Lease agreements
- Rental expenditure authorities
- Valuation queries
- Applications for leases, licences & rental revision

Common practice

8.9 The process of managing the occupancy of property

Destroy **7** years after the conclusion of the transaction that the record supports

- Requests for works, cleaning, etc.

Common practice

Housing Provision

8.10 The process of managing local authority welfare housing estates

Destroy **4** years after last action

- Stock monitoring records

Common practice

Systems Management

8.11 The internal process to develop or extend the capabilities of a system used to support the activities of the local authority

Retain for life of system then destroy

8.12 The process to implement a system used to support the activities of the local authority

Destroy **7** years after last action

- Implementation plan

8.13 The process to support and administer a system used to support the activities of the local authority
Destroy **5** years after last action

Transport Management

8.14 The process of acquisition and disposal of vehicles through lease or purchase
Destroy **7** years after the disposal of the vehicle

- Leases
- Contracts
- Quotes
- Approvals
- Fleet authorisation numbers

8.15 The process of managing allocation & maintenance of vehicles
Destroy **7** years after the sale or disposal of the vehicle

- Approvals as drivers
- Allocations & authorisations for vehicles
- Maintenance

8.16 The process of recording vehicle usage
Destroy **3** years after the sale or disposal of the vehicle

- Vehicle usage reports

8.17 The process of recording drivers usage
Destroy **7** years after closure

- Vehicle log book

Insurance Policy Management

8.18 The summary management of insurance arrangements

Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded.

- Insurance register

8.19 The process of insuring local authority officers, property, vehicles and equipment against negligence, loss or damage

Destroy **7** years after the terms of the policy have expired

- Insurance policies
- Correspondence

8.20 The process of renewing insurance policies

Destroy **5** years after the insurance policy has been renewed

- Insurance policy Renewal records
- Correspondence

Claims Management

8.21 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)

- Claims records
- Correspondence

General Public Services

Health and Safety Inspections and Assessments

9.1 Process of inspecting equipment to ensure it is safe

Destroy **6** Years from destruction of the equipment

- Equipment inspection records

Statutory

9.2 Processing the geotechnical assessments of a quarry

When quarry is no longer in use consult or refer to Health and Safety Executive (HSE)

Statutory

9.3 Process of carrying out monitoring to ensure that the process is safe

Destroy **3** Years from last action

- Monitoring results

Statutory

9.4 Process of monitoring of areas where employees and persons are likely to have become in contact with **asbestos**

Destroy **40** Years from last action

- Property asbestos files

Common practice based on Statutory

9.5 Process of monitoring of areas where employees and persons are likely to have come in contact with **radiation**

Destroy **50** Years from last action or at age **75** years whichever is the greater

- Radon monitoring

9.6 Process to ensure safe systems of work

Retain until superseded or process ceases **+1** year

Common practice

9.7 Process to assess the level of risk

Destroy **3** Years from last assessment

- Risk assessment

Statutory

9.8 Processes that permit work

Destroy **1** Year from last action

Common practice

9.9 Process that records injuries to adults

Destroy **3** Years from closure

- Accident books

Statutory

9.10 Process that records injuries to children

Destroy **25** Years from closure

- Accident books

Based on Statutory

Emergency Planning

9.11 Process to develop the emergency/disaster plan for the local community

Permanent. Offer to Archivist for review. Transfer to place of deposit after superseded

Record Retention final draft

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- Major Incident Plan

9.12 Process of recording the results of the test for emergency/disaster plan for the local community

Destroy **10** years after closure

Major Incident

9.13 Activities that report on all major incidents in the local community, whether the emergency plan has been invoked or not

Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded

9.14 Activities that report on all minor incidents in the local community

Destroy **7** years after closure

Enforcement Certification and Prosecution Registration, Certification and Licensing

9.15 Summary management systems that allow the monitoring & management of registration, certification and licences registration requirements in summary form

Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded

- Visual impairment register

Common practice

Retention Action Examples of Records Notes

9.16 The administration of applications, registration, certification and licences in relation to local authorities' registration requirements

Destroy **2** years after registration or entitlement lapses

- Applications for animal registration

Statutory

- Applications for registration of a business premises
- Applications for release of animals impounded
- Registers
- Certificates of registration of:
 - door supervisors
 - taxi drivers
 - beauty therapists
 - Animal movement licences
 - Gaming

- Fire certification
- Disabled Parking permits
- Blue badge
- Registration to sell poison

Note: may want **archival review** in cases of licensing of children in entertainment

9.17 The process involved in holding or use of toxic or hazardous substances. (including petroleum, agricultural chemical products or herbicides)

Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded - **60** years after registration or entitlement

lapses

- Diesel licences
- Petroleum licences
- Health and safety licensing
- Hazardous substances
- Contaminated land register/pollution

Common practice

9.18 Not applicable to SNC

9.19 The process of issuing notices to citizens with respect to particular responsibilities

Destroy **2** years after the matter is concluded

- Fire Prevention notices
- Fire Prevention Infringement notices
- Objections to notices
- Appeals against notices
- Registration of premises Infringement notices
- Animal Impounding notices

Common practice

Investigation, Inspection and Monitoring

9.20 The process of investigation, monitoring or inspection laws in the responsibility of the local authority

Destroy **7** years from last action.

- Trading standards sample and inspections records
- Fire certificate compliance inspections

Common practice

Prosecution

9.21 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

Bye-Laws Enactment

9.22 The process of making local laws

Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded

- Master Set of bye-laws
- Policy Development documents
- Correspondence
- Submissions

Common practice

Administration & Enforcement

9.23 The process of administering and enforcing bye-laws

Destroy **2** years after certificate has expired or penalty payment has been made or the matter has been finished or correspondence on the matter has ceased

- Applications and certificates
- Permits
- Licences
- Infringement notices (Parking)
- Correspondence

Common practice

Cemeteries & Crematoria

9.24 Summary management systems that record the location of burials and identity of deceased individuals

Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded

- Register of interments
- Cemetery register
- Cemetery plans

Common practice

9.25 The process of regulation of burials and cremations

Destroy **5** year after last action

- Permits
- Applications
- Orders

Common practice

Waste Management

The provision of hard waste removal, destruction and waste reduction services by the local authority to ratepayers

Collection

9.26 The process of arranging the collection or transportation of household waste

Destroy **2** year after last action

Common practice

9.27 The process of arranging the collection or transportation of controlled waste

Destroy **6** year after last action

Common practice

Disposal of Waste

9.28 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

Common practice

9.29 The process of the short term storage of household waste

Destroy **10** year after site closure

- Transfer sites

Common practice

9.30 The process involved in managing the use, type and amount of waste to be disposed at a specific site

Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded

- Waste site plans

Common practice

Planning Scheme Development and Amendment

10.1 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 centre plans to ensure the implementation of the Structure Plan

Permanent. Offer to Archivist when plan superseded

- Structure Plan
- Local Plan
- Town Centre plans
- Unitary Development plans

Common practice

10.2 The activity of consultation to gain approval for the Structure Plan (Unitary Development Plans) or Local Plans

Permanent. Offer to Archivist for review after 3 years.

- Consultation documents and replies
- Inquiries and objections made by members of public
- Public Inquiry documents

Common practice

10.3 The activity of recording information on historical buildings, monuments and ecology at a specific site

Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded

- Sites and Monuments records
- Ecological records
- Species records
- Historically listed buildings
- Definitive map
- Commons registration

Common practice

10.4 The activity of establishing planning scheme controls and providing for them to be amended

Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded

- Successful Waste Planning application
- Successful Mineral Planning applications
- Amendments to definitive map
- Mineral Register
- Applications for mineral extraction
- Land Use surveys

Common practice

10.5 The process of receiving, considering and responding to submissions and objections to planning schemes and amendments

Destroy 15 years after decision. **Offer controversial/high profile schemes to Archivist**

- Waste Planning application consultation
- Mineral Planning applications consultation
- Objections
- Inquiries – Public etc
- Archaeological advice/conditions

Common practice

10.6 The process of controlling development of areas through applications for planning permission

Transfer planning application register to **Archivist** once the register has been completed (or at arranged intervals if it is held electronically)

Refer all other records to **Archivist** for sampling

- Planning application files and plans
- Correspondence relating to any objections
- Hearing papers
- Planning application register

Common practice

10.7 The process of maintaining the countryside and developing open spaces for public amenity

Refer all files relating to policy to the **Archivist**. Destroy other files **7** years after administrative use concluded

- Tree preservation orders
- Country parks and nature reserves development plans and correspondence, land purchase agreements

Common practice

Planning Scheme Regulation

10.8 The summary management of planning scheme regulation

Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded

- Building Control registers

Common practice

10.9 The process of regulating the planned use of land or buildings

Destroy **15** years after closure

Common practice

10.10 The process of approving building applications in relation to listed or other significant buildings

Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded

- Building files
- Plans
- Specifications
- Correspondence
- Applications
- Permits
- Certificates

Common practice

10.11 The process of approving building applications, for all other buildings

Destroy **15** years after construction completed

- Building files
- Plans
- Specifications
- Correspondence
- Applications
- Permits
- Certificates
- Objections

Common practice

10.12 The process of inspecting building work for the purpose of insuring compliance.

Destroy **10** years after the issue of a certificate of final inspection

- Certificate of final inspection
- Building Inspection records
- Diaries

Common practice

10.13 The process of enforcing building or land regulations
 Destroy **3** years after compliance with enforcement notice

Infrastructure and Transport

Planning and Development

11.1 The activity of developing a vision and strategic directions regarding existing transport and infrastructure within the municipality

Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded

- Structure Plan
- Local transport plan

Common practice

11.2 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

- Definitive map
- Correspondence concerning enquiries and disputes

Common practice

11.3 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

- Amendments to definitive map
- Road adoption

Common practice

11.4 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**

- Enquiries, consultation documents, objections and correspondence

Common practice

11.5 The process of enforcing infrastructure and transport regulations

Destroy **50** years after enforcement notice.

Destroy **3** years after compliance with enforcement notice.

Common practice

Traffic Management

11.6 The activity of planning, and programming the continued flow, diversion or reduction of traffic

Destroy **7** years after action completed

- Traffic orders

Common practice

Design and Construction

11.7 The activity of planning, designing, programming and constructing roads,

streets, bridges, and tunnels

Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded

Common practice

Infrastructure Management and Maintenance

11.8 The activity of providing municipal services in relation to infrastructure within the local authority

Destroy **7** years after last action

- Street files
- Street records

Common practice

Requests for:

- Hedge clipping
- Tree planting
- Naming of streets
- Numbering of houses
- Street load limits
- Street signs
- Bus shelters
- Applications to dig up pavements
- HGV application
- Advice / comment
- Level crossings
- Right of ways
- Roundabouts
- Traffic calming measures
- Street lighting

Road Maintenance

11.9 The activity of maintaining and repairing roads, streets, bridges, bridle paths, rights of way and tunnels

Destroy **12** years after action completed

Common practice

Public Transport

11.10 Services. The activities involved in the management and provision of public transport

Destroy **3** years after superseded or last action.

- Timetables and routes
- Maps
- Fares
 - Customer and industry liaison

Common practice

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