

# Records Retention & Disposal Guidelines

*London Borough of Barnet*

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## Table of Contents

<b>1. Introduction .....</b>	<b>1</b>
<b>2. Scope .....</b>	<b>1</b>
2.1. Reviewing the Schedule.....	1
2.2. Further Information.....	1
<b>3. Part 2 - Disposal Guidelines.....</b>	<b>2</b>
3.1. Democratic Processes .....	2
• Elections .....	2
• Council and Committee Meetings .....	2
• Partnership, Agency and External Meetings .....	3
• Honours and Submissions .....	4
• Political Parties Papers .....	4
3.2. Management and Administration.....	5
• Corporate Planning and Reporting .....	5
• Statutory Returns .....	6
• Policy, Procedures, Strategy and Structure .....	6
• Public Consultation .....	7
• Information Management .....	7
• Enquiries and Complaints .....	8
• Quality & Performance Management .....	9
• Public Relations .....	9
• Publications .....	9
• Media Relations .....	9
• Marketing .....	10
• Civic and Royal Events .....	10
3.3. Client Services .....	11
• Case Management .....	11
• "Looked After" Children.....	11
• Child Protection .....	12
• Case Management - Children's Services – General .....	13
• Special Educational Needs .....	14
• Family Support.....	14
• Adult and Elderly Case Files.....	14
• Contracts .....	15
• Admissions and Exclusions .....	15
• Programme Management and Development .....	16
• Residential Homes.....	16
• Housing Provision.....	17
3.4. Legal and Contracts .....	19
• Litigation .....	19
• Advice .....	19
• Agreements .....	19
• Conveyance.....	19
• Contracts and Tendering .....	20
• Pre Contract Advice .....	20

• Specification and Contract Development .....	20
• Tender Issuing and Return .....	20
• Evaluation of Tender .....	20
• Post Tender Negotiation .....	21
• Awarding of contract .....	21
• Contract Management .....	22
• Tenancy Agreements .....	22
3.5. Statutory Services .....	24
• Registrars of Births Deaths and Marriages .....	24
• Registration .....	24
• Marriage Services .....	24
• Notices .....	24
• Coroners .....	24
• Coroner's case work .....	25
• Treasure Trove .....	26
• Magistrates .....	26
3.6. Human Resources .....	27
• Personnel Administration .....	27
• Employee and Industrial Relations .....	28
• Equal Employment Opportunities .....	29
• Occupational Health .....	30
• Recruitment .....	30
• Staff Monitoring .....	31
• Staff Retention .....	31
• Termination .....	31
• Training and Development .....	32
• Appointments of Statutory Officers .....	33
3.7. Financial Management .....	34
• Accounts & Audit .....	34
• Reporting .....	34
• Financial Transactions Management .....	35
• Payroll .....	37
• Financial Provisions .....	37
• Budgets and Estimates .....	37
• Loans .....	38
• Housing .....	38
• Business Rates / Council Tax Valuation .....	39
• Property History .....	39
• Business Rates / Local Taxation and Benefit Correspondence .....	40
• Summary Assets Management .....	41
• Asset Monitoring and Maintenance .....	42
• Asset Acquisition and Disposal .....	42
3.8. Property and Land Management .....	44
• Property and Land Management .....	44
• Property Acquisition and Disposal .....	44
• Property Development and Renovation .....	45
• Leasing and Occupancy .....	46

• Housing Provision .....	46
• Systems Management .....	46
• Transport Management.....	47
• Insurance .....	47
• Policy Management .....	47
• Claims Management .....	48
3.9. General Public Services .....	49
• Health and Safety .....	49
• Inspections and Assessments .....	49
• Emergency Planning.....	50
• Major Incident .....	50
• Enforcement Certification and Prosecution.....	51
• Registration, Certification and Licensing.....	51
• Notification .....	53
• Investigation, Inspection and Monitoring.....	53
• Prosecution .....	53
• Bye-Laws .....	54
• Enactment.....	54
• Administration & Enforcement .....	54
• Cemeteries & Crematoria .....	54
• Waste Management.....	55
• Collection .....	55
• Disposal of Waste .....	55
3.10. Planning and Land Use.....	57
• Planning Scheme Development and Amendment .....	57
• Planning Scheme Regulation.....	59
3.11. Infrastructure and Transport .....	62
• Planning and Development.....	62
• Traffic Management.....	63
• Design and Construction.....	63
• Infrastructure Management and Maintenance .....	63
• Road Maintenance.....	64
• Public Transport.....	65

## **1. Introduction**

- 1.1. This document sets out the Council's responsibilities and activities in regards to best practice in the management of its records. Compliance with this policy will assist in eliminating unnecessary records, reduce storage costs, improve working practices and enable the authority to support its management and storage of documents in accordance with the Freedom of Information Act 2000 and the Data Protection Act 1998.
- 1.2. This document is intended as a framework for the development of individual directorate and detailed service guidance.
- 1.3. The attached schedule sets out the legislation, guidance and best practice regarding record retention and incorporates Retention Guidelines as issued by the Records Management Society of Great Britain.

## **2. Scope**

This policy applies to all records held as recorded information by the London Borough of Barnet (including paper, electronic, microform, audio-visual etc), which are created, collected, processed, used, stored and/or disposed of by the authority's employees, partners and agents in the course of the authorities business activities.

### **2.1. Reviewing the Schedule**

This Guideline prescribes minimum and permanent retention periods. This guideline will also be reviewed on a yearly basis.

Where services have adopted a different retention period to the guidelines stated this should be brought to the attention of the Information Governance Team and reflected in this schedule.

### **2.2. Further Information**

Records Management Society of Great Britain <http://www.rms-gb.org.uk>  
Public Record Office <http://www.pro.gov.uk>  
Society of Archivists <http://www.archives.org.uk>  
Information Commissioner <http://www.ico.gov.uk>

### 3. Part 2 - Disposal Guidelines

#### 3.1. Democratic Processes

Ref No.	Function Description	Retention Action	Examples of Records	Notes
	• <b>Elections</b>			
3.1.1.	Summary certification of those eligible to vote	<b>Permanent. Offer to Archivist</b> after administrative use is concluded	• Electoral Register	Common practice
3.1.2.	Voting (Local elections only)	Destroy <b>6</b> months from close of poll	• Ballot papers	Statutory
3.1.3.	Declaration of results (local elections only)	Destroy <b>6</b> months from date of election	• Consolidated returns of votes received	Statutory
	• <b>Council and Committee Meetings</b>			
3.1.4.	The process of preparing business for Council consideration and making the record of discussion, debate and resolutions	<b>Permanent. Offer to Archivist.</b> Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>• Council minutes</li> <li>• Council agenda and business papers</li> <li>• Council notice papers and proceedings</li> <li>• Indexes</li> <li>• Committee minutes</li> <li>• Registers of delegations to Special Committees</li> </ul>	Common practice
3.1.5.	Minute taking	Destroy after date of confirmation of the minutes	<ul style="list-style-type: none"> <li>• Draft/rough minutes</li> <li>• Audio tapes</li> </ul>	Common practice

Ref No.	Function Description	Retention Action	Examples of Records	Notes
	<ul style="list-style-type: none"> <li><b>Partnership, Agency and External Meetings</b></li> </ul>			
3.1.6.	The process of preparing business for partnership and agencies consideration and making the record of discussion, debate and resolutions, where the local authority legally <b>owns</b> the record.	<b>Permanent. Offer to Archivist.</b> Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>Documents establishing the committee</li> <li>Agendas</li> <li>Minutes</li> <li>Council reports</li> <li>Recommendations</li> <li>Supporting documents such as Council briefing and discussion papers</li> </ul>	Common practice
3.1.7.	The process of preparing business for external committees' consideration, and making the record of discussion, debate and resolutions, where the local authority <b>does not</b> own the record.	Destroy <b>3</b> years after last action	<ul style="list-style-type: none"> <li>Documents establishing the committee</li> <li>Reports</li> <li>Recommendations</li> <li>Supporting documents such as briefing and discussion papers.</li> </ul>	Common practice



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

### 3.2. Management and Administration

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	<ul style="list-style-type: none"> <li><b>Corporate Planning and Reporting</b></li> </ul>			
3.2.1.	The corporate planning and reporting activities of local authorities	<b>Permanent. Offer to Archivist.</b> Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>Corporate Plans</li> <li>Strategy Plans</li> <li>Business Plans</li> <li>Annual Reports</li> </ul>	Common practice
3.2.2.	The process of preparing business for strategic consideration and making the record of discussion, debate and resolutions	<b>Permanent. Offer to Archivist.</b> Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>Strategic management team minutes</li> </ul>	Common practice
3.2.3.	The process of preparing business for cross departmental consideration and making the record of discussion, debate and resolutions	Destroy <b>3</b> years from closure		Common practice
3.2.4.	The process of preparing business for Unit/Team consideration and making the record of discussion, debate and resolutions	Destroy <b>3</b> years from closure		Common practice

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	<ul style="list-style-type: none"> <li><b>Statutory Returns</b></li> </ul>			
3.2.5.	The process of preparing information to be passed on to central government as part of statutory requirements	Destroy <b>7</b> years from closure	<ul style="list-style-type: none"> <li>Reports to central government</li> </ul>	Common practice
	<ul style="list-style-type: none"> <li><b>Policy, Procedures, Strategy and Structure</b></li> </ul>			
3.2.6.	Activities that develop policies, procedures, strategies and structures for the local authorities	<b>Permanent. Offer to Archivist.</b> Transfer to place of deposit after administrative use is concluded.	<ul style="list-style-type: none"> <li>Policy, procedure, precedent, instructions</li> <li>Organisation charts</li> <li>Records relating to policy implementation and development</li> <li>Education plan</li> <li>Asset management plan</li> <li>Children's services plan</li> <li>Community strategy</li> <li>Community plan</li> <li>Community safety plan</li> </ul>	Common practice

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
3.2.7.	The process of monitoring and reviewing strategic plans, policies or procedure to assess their compliance with guidelines	Destroy <b>5</b> years from closure		Common practice
	<b>• Public Consultation</b>			
3.2.8.	The process of consulting the public and staff in the development of significant policies of the local authority	Destroy <b>5</b> years from closure		Common practice
3.2.9.	The process of consulting the public and staff in the development of minor policies of the local authority	Destroy <b>1</b> year from closure		Common practice
	<b>• Information Management</b>			
3.2.10.	The activity whereby standards, authorities, restraints and verifications are introduced and maintained to manage information effectively	<b>Permanent. Offer to Archivist for review.</b> Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>• Classification schemes</li> <li>• Registers</li> <li>• Indexes</li> <li>• Authorised lists of file headings</li> </ul>	Common practice

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
3.2.11.	The management of collections of records transferred to the archives	<b>Permanent. Offer to Archivist.</b> Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>• Accession registers</li> <li>• Depositor files</li> </ul>	Common practice
3.2.12.	The process that records the disposal of records	Destroy <b>12</b> years after last action	<ul style="list-style-type: none"> <li>• Disposal certificates</li> </ul>	Common practice based on Limitation Act
	<ul style="list-style-type: none"> <li>• <b>Enquiries and Complaints</b></li> </ul>			
3.2.13.	The management in summary form of enquiries and complaints directed to council	<b>Permanent. Offer to Archivist for review.</b> Transfer to place of deposit after administrative use is concluded.	<ul style="list-style-type: none"> <li>• Indexes</li> <li>• Registers</li> </ul>	Common practice
3.2.14.	The management of enquiries, submissions and complaints which result in significant changes to policy or procedures	<b>Permanent. Offer to Archivist.</b> Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>• Reports</li> <li>• Returns</li> <li>• Correspondence</li> </ul>	Common practice
3.2.15.	The management of detailed responses on council actions, policy or procedures	Destroy <b>6</b> years after administrative use is concluded	<ul style="list-style-type: none"> <li>• Reports</li> <li>• Returns</li> <li>• Correspondence</li> <li>• Ombudsman</li> </ul>	Common practice

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
3.2.16.	The management of routine responses on council actions, policy or procedures	Destroy <b>2</b> years after administrative use is concluded	<ul style="list-style-type: none"> <li>Printed material</li> <li>Form letters</li> <li>FOI/EIR requests</li> </ul>	Common practice
	<ul style="list-style-type: none"> <li><b>Quality &amp; Performance Management</b></li> </ul>			
3.2.17.	The process of monitoring or reviewing the quality, efficiency, or performance of a local authority service or unit	Destroy <b>5</b> years from closure	<ul style="list-style-type: none"> <li>Best Value Review</li> </ul>	Common practice
3.2.18.	The process of assessing the quality, efficiency, or performance of a local authority service or unit	Destroy <b>2</b> years from closure	<ul style="list-style-type: none"> <li>Assessment form</li> </ul>	Common practice
	<ul style="list-style-type: none"> <li><b>Public Relations</b></li> </ul>			
	<ul style="list-style-type: none"> <li><b>Publications</b></li> </ul>			
3.2.19.	The process of designing setting information for publication	Destroy <b>3</b> years from last action		Common practice
3.2.20.	The published work of the local authority	Destroy after administrative use is concluded <b>Note: One copy from the initial print run should go directly to the archive.</b>		Common practice
	<ul style="list-style-type: none"> <li><b>Media Relations</b></li> </ul>			

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
3.2.21.	Process of interaction with the media	Destroy <b>3</b> years from closure		Common practice
3.2.22.	Media publications concerning local authorities	<b>Permanent. Offer to Archivist.</b> Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>• Press cuttings</li> <li>• Media reports</li> </ul>	Common practice
	• <b>Marketing</b>			
3.2.23.	The process of developing and promotion of local authorities campaigns and events	<b>Permanent. Offer to Archivist for review.</b> Transfer to place of deposit after administrative use is concluded		Common practice
	• <b>Civic and Royal Events</b>			
3.2.24.	The recording of ceremonial events and civic occasions	<b>Permanent. Offer to Archivist.</b> Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>• Visitors' book</li> <li>• Audio tapes</li> <li>• Video tapes</li> <li>• Photographs</li> </ul>	Common practice
3.2.25.	The process of organising a ceremonial event or civic occasions	Destroy <b>7</b> years after administrative use is concluded		Common practice

### 3.3. Client Services

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	<ul style="list-style-type: none"> <li>• <b>Case Management</b></li> </ul>			
	<ul style="list-style-type: none"> <li>• <b>"Looked After" Children</b></li> </ul>			
3.3.1.	Systems, which manage children, looked after by the local authority, in summary form	<b>Permanent. Offer to Archivist.</b> Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>• Children's home register</li> </ul>	Common practice Closed for 50 years
3.3.2.	Process involving individual case management of children looked after by the local authority This includes children and young people: <ul style="list-style-type: none"> <li>• Adopted via the local authority</li> <li>• In children's home</li> <li>• Fostered by local authority</li> <li>• On custodianship orders</li> <li>• On residence orders</li> </ul>	<b>Destroy 75 years from 18th Birthday</b>	<ul style="list-style-type: none"> <li>• Young persons being looked after files</li> <li>• Looked after children client files</li> <li>• Residential care children's file</li> <li>• Adoption files</li> <li>• Privately fostered children's file</li> <li>• Guardian CAFCASS files</li> <li>• Guardian ad litem</li> </ul>	Common practice, Statutory basis



Ref. No.	Function Description	Retention Action	Examples of Records	Notes
3.3.3.	Children and young people subject to supervision orders	<b>Destroy 21</b> years from DOB		
3.3.4.	Process involved in checking the suitability of people to become adoptive parents or foster carers	<b>Destroy 10</b> years from closure	<ul style="list-style-type: none"> <li>Application forms</li> </ul>	Business requirement
		<b>Destroy 25</b> years from closure	<ul style="list-style-type: none"> <li>Adoptive parent counselling files</li> <li>Approved adopters</li> </ul>	Common practice
3.3.5.	Process involving individual case management of families or adults who have fostered children in their care	<b>35</b> years after carer has ceased to foster	<ul style="list-style-type: none"> <li>Foster carer files</li> <li>Supported lodging files</li> </ul>	Common practice
	<b>Note:</b> Foster care financial files see <b>Financial management</b>			
	• <b>Child Protection</b>			
3.3.6.	Process involving summary case management of children under the protection of local authority.	<b>Permanent. Offer to Archivist.</b> Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>Child Protection Register</li> </ul>	Common practice closed for 70 years
3.3.7.	Process involving summary case management of adults convicted of Schedule 1 offences	<b>Permanent. Offer to Archivist.</b> Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>Schedule 1 offenders</li> </ul>	Common practice closed for 70 years

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
3.3.8.	<p>Process involving individual case assessment, investigation, registration, and management of children involved in child protection:</p> <ul style="list-style-type: none"> <li>a) investigated, conferenced and registered</li> <li>b) core assessment</li> <li>c) investigated but not conferenced and registered</li> </ul>	Destroy <b>35</b> years from closure	<ul style="list-style-type: none"> <li>• Child protection case files which have               <ul style="list-style-type: none"> <li>a) Conference minutes</li> <li>b) Core assessment</li> <li>c) Investigation</li> <li>d) Registration</li> </ul> </li> </ul>	Common practice
3.3.9.	Process involving individual cases involving initial assessment and provision of advice in regards child protection	Destroy <b>5</b> years from closure	<ul style="list-style-type: none"> <li>• Child protection files               <ul style="list-style-type: none"> <li>a) Initial assessment</li> <li>b) Advice only</li> </ul> </li> </ul>	Common practice
	<ul style="list-style-type: none"> <li>• <b>Case Management - Children's Services – General</b></li> </ul>			
3.3.10.	Children in need (who have not been adopted or looked after and who have not been the subject of a child protection inquiry)	Destroy <b>10</b> years from closure		Common practice

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
3.3.11.	Process involving individual case management of services or support to unaccompanied minors (eg Asylum Seekers) if not "looked after"	Destroy <b>10</b> years from closure		Common practice
3.3.12.	Process involving individual case management of services or support to youth.	Destroy <b>25</b> years from DOB. Or destroy <b>10</b> years from last contact	<ul style="list-style-type: none"> <li>• Youth Service client files</li> <li>• Youth Justice</li> </ul>	Common practice
	<ul style="list-style-type: none"> <li>• <b>Special Educational Needs</b></li> </ul>			
3.3.13.	Process involving in assessing and providing individual support for children who have need of special education support	<b>Destroy 35</b> years from closure	<ul style="list-style-type: none"> <li>• SEN files</li> </ul>	Common practice
	<ul style="list-style-type: none"> <li>• <b>Family Support</b></li> </ul>			
3.3.14.	Process involving individual case management in the provision of support by the local authority to families	<b>7</b> years file closure	<ul style="list-style-type: none"> <li>• Parenting skills</li> <li>• Special education</li> <li>• Attendance records</li> <li>• Project files</li> </ul>	Common practice
3.3.15.	Process involved in assessing a family's suitability in the care of children	<b>25</b> years from DOB of youngest child		Common practice
	<ul style="list-style-type: none"> <li>• <b>Adult and Elderly Case Files</b></li> </ul>			

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
3.3.16.	Process involving summary case management of services or support to adults	Destroy <b>10</b> years after last contact		Common practice
3.3.17.	Process involving in assessing and providing individual support for people with mental illness	Destroy <b>10</b> years after last contact	<ul style="list-style-type: none"> <li>• Mental Health files</li> </ul>	Common practice
3.3.18.	Process involving in assessing and providing individual support or services for all other people	Destroy <b>6</b> years after last contact	<ul style="list-style-type: none"> <li>• Day service provision</li> <li>• Learning disability</li> <li>• Physical disabilities</li> <li>• Sensory disability</li> <li>• Rehabilitation and discharge</li> <li>• Communication support</li> <li>• Drug and alcohol misuse</li> <li>• Occupational therapy</li> <li>• Home care</li> </ul>	Common practice
	• <b>Contracts</b>	3 to 7 years		
3.3.19.	Registration and application of Blue Badges, Freedom Passes and Travel Vouchers	4 – 6 years		
	• <b>Admissions and Exclusions</b>			

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
3.3.20.	Case Files (including appeals)	Destroy <b>25</b> years from last action	<ul style="list-style-type: none"> <li>• Appeal files</li> <li>• Exclusion files</li> </ul>	Common practice
	<ul style="list-style-type: none"> <li>• <b>Programme Management and Development</b></li> </ul>			
3.3.21.	Process involved in development of services or programmes for children	<b>7</b> years from closure		Common practice
3.3.22.	Process involved in provision of services or programmes to support the development of children	<b>25</b> years from closure	<ul style="list-style-type: none"> <li>• Attendance records</li> <li>• Course reports</li> </ul>	Common practice
3.3.23.	Process involved in provision of a services or programmes to support the development of young persons	<b>15</b> years from closure		Common practice
3.3.24.	Process involved in provision of services or programmes to adults	<b>7</b> years from closure		Common practice
	<ul style="list-style-type: none"> <li>• <b>Residential Homes</b></li> </ul>			
3.3.25.	Summary management systems that manage children/adults housed by the local authority	<b>Permanent. Offer to Archivist.</b> Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>• Children's/adults home Registers</li> <li>• Admissions registers</li> <li>• Discharge registers</li> </ul>	Common practice

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
3.3.26.	Documents relating to the operation of the establishment	<b>25</b> years from closure of file	<ul style="list-style-type: none"> <li>• Diaries</li> <li>• Rotas</li> <li>• Daily logs</li> <li>• Secure unit records</li> </ul>	Common practice
	<b>• Housing Provision</b>			
	The process of the allocation and management of welfare housing by the local authority and the associated issues of homelessness			
3.3.27.	The registration of individuals housing applications	<b>Permanent. Offer to Archivist.</b>	<ul style="list-style-type: none"> <li>• Council housing register</li> </ul>	Common practice
3.3.28.	The process for applying for council housing (Unsuccessful applications only, successful applications will generally be placed on the tenancy file)	Destroy <b>7</b> years after closure	<ul style="list-style-type: none"> <li>• Council housing Application forms and supporting material</li> <li>• Application for transfer of tenancy and supporting papers</li> </ul>	Common practice

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
3.3.29.	The process for managing the tenancy of an individual tenant	Destroy <b>12</b> years after termination of tenancy	<ul style="list-style-type: none"> <li>• Correspondence re tenancy</li> <li>• Tenancy files</li> <li>• Council housing Application forms and supporting material</li> <li>• Application for transfer of tenancy and supporting papers</li> <li>• Application for emergency housing or referral from another agency</li> </ul>	<p>Common practice</p> <p>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</p>

### 3.4. Legal and Contracts

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	• <b>Litigation</b>			
3.4.1.	The process of managing, undertaking or defending for or against litigation on behalf of the local authority	Destroy <b>7</b> years after last action.  Major litigation – <b>offer to Archivist for review</b>	<ul style="list-style-type: none"> <li>• Criminal case file</li> <li>• Childcare case file</li> <li>• Civil case file</li> <li>• correspondence</li> </ul>	Common practice
	• <b>Advice</b>			
3.4.2.	The process of providing legal advice on a point of law.	Destroy <b>3</b> years after last action  – unless a major precedent, then offer to Archivist for review		Common practice
	• <b>Agreements</b>			
3.4.3.	Process of agreeing terms between organisations  <b>Note</b> : this does not include contractual agreements	Destroy <b>6</b> years after agreement expires or is terminated	<ul style="list-style-type: none"> <li>• Concordat</li> </ul>	Common practice  Depends on value of agreement  Mainly to do with agreements between public bodies, not in regard to contracts
	• <b>Conveyance</b> (see also <b>Property Acquisition and Disposal</b> )			



Ref. No.	Function Description	Retention Action	Examples of Records	Notes
3.4.4.	The process of changing ownership of land or property	Destroy <b>12</b> years after closure	<ul style="list-style-type: none"> <li>Conveyancing files</li> </ul>	Statutory
	<ul style="list-style-type: none"> <li><b>Contracts and Tendering</b></li> </ul>			
	<ul style="list-style-type: none"> <li><b>Pre Contract Advice</b></li> </ul>			
3.4.5.	The process of calling for expressions of interest	Destroy <b>2</b> years after contract let or not proceeded with	<ul style="list-style-type: none"> <li>Expressions of Interest</li> </ul>	Common practice
	<ul style="list-style-type: none"> <li><b>Specification and Contract Development</b></li> </ul>			
3.4.6.	The process involved in the development and specification of a contract	<u>Ordinary Contracts</u> Destroy 6 years after the terms of contract have expired  <u>Contracts Under Seal</u> Destroy 12 years after the terms of contract have expired	<ul style="list-style-type: none"> <li>Tender specification</li> </ul> Note: For project files containing drafts leading to a final version these records can be destroyed.	Statutory
	<ul style="list-style-type: none"> <li><b>Tender Issuing and Return</b></li> </ul>			
3.4.7.	The process involved in the issuing and return of a tender	Destroy 1 year after start of contract	<ul style="list-style-type: none"> <li>Opening notice</li> <li>Tender envelope</li> </ul>	Common practice
	<ul style="list-style-type: none"> <li><b>Evaluation of Tender</b></li> </ul>			

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
3.4.8.		<ul style="list-style-type: none"> <li>• <u>Ordinary Contracts</u> Destroy 6 years after the terms of contract have expired</li> <li>• <u>Contracts Under Seal</u> Destroy 12 years after the terms of contract have expired</li> </ul>	<ul style="list-style-type: none"> <li>• Evaluation criteria</li> </ul>	Statutory
3.4.9.	Successful tender document	<ul style="list-style-type: none"> <li>• <u>Ordinary Contracts</u> Destroy 6 years after the terms of contract have expired</li> <li>• <u>Contracts Under Seal</u> Destroy 12 years after the terms of contract have expired</li> </ul>	<ul style="list-style-type: none"> <li>• Tender documents</li> <li>• Quotations</li> </ul>	Statutory
3.4.10.	Unsuccessful tender documents	Destroy 1 year after start of contract	<ul style="list-style-type: none"> <li>• Tender documents</li> <li>• Quotations</li> </ul>	Common practice
	<ul style="list-style-type: none"> <li>• <b>Post Tender Negotiation</b></li> </ul>			
3.4.11.	The process in negotiation of a contract after a preferred tender is selected	Destroy 1 year after the terms of contract have expired	<ul style="list-style-type: none"> <li>• Clarification of contract</li> <li>• Post tender negotiation minutes</li> </ul>	Common practice
	<ul style="list-style-type: none"> <li>• <b>Awarding of contract</b></li> </ul>			

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
3.4.12.	The process awarding of contract	<ul style="list-style-type: none"> <li>• <u>Ordinary Contracts</u> Destroy 6 years after the terms of contract have expired</li> <li>• <u>Contracts Under Seal</u> Destroy 12 years after the terms of contract have expired</li> </ul>	<ul style="list-style-type: none"> <li>• Signed contract</li> </ul>	Statutory
	• <b>Contract Management</b>			
3.4.13.	Contract operation and monitoring	Destroy 2 years after the terms of contract have expired	<ul style="list-style-type: none"> <li>• Service Level Agreements</li> <li>• Compliance reports</li> <li>• Performance reports</li> </ul>	Common practice
3.4.14.	Management and amendment of contract	(a) <u>Ordinary Contracts</u> Destroy 6 years after the terms of contract have expired  (b) <u>Contracts Under Seal</u> Destroy 12 years after the terms of contract have expired	<ul style="list-style-type: none"> <li>• Minutes and papers of meetings</li> <li>• Changes to requirements</li> <li>• Variation forms</li> <li>• Extension of contract</li> <li>• Complaints</li> <li>• Disputes on payment</li> </ul>	Statutory
	• <b>Tenancy Agreements</b>			

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
3.4.15.	The process of awarding tenancies in welfare housing	a) <u>Ordinary Tenancy</u> Destroy 6 years after the terms of agreement have expired  b) <u>Tenancy Under Seal</u> Destroy 12 years after the terms of agreement have expired	<ul style="list-style-type: none"> <li>Signed tenancy agreements</li> <li>Sealed tenancy agreements</li> </ul>	Statutory

### 3.5. Statutory Services

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	<ul style="list-style-type: none"> <li>• <b>Registrars of Births Deaths and Marriages</b></li> </ul>			
	<ul style="list-style-type: none"> <li>• <b>Registration</b></li> </ul>			
3.5.1.	Process of the summary registration of a birth, death or marriage	<b>Permanent. Offer to Archivist.</b> Transfer to Place of Deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>• Deaths register</li> <li>• Births register</li> <li>• Marriage register</li> </ul>	Common practice
3.5.2.	Process of certification of the registration of a birth, death or marriage	Destroy <b>7</b> years after last action	<ul style="list-style-type: none"> <li>• Birth certificate</li> <li>• Death certificate</li> <li>• Marriage certificate</li> </ul>	Common practice
	<ul style="list-style-type: none"> <li>• <b>Marriage Services</b></li> </ul>			
3.5.3.	Process of conducting a marriage service	Destroy <b>3</b> years after last action		Common practice
	<ul style="list-style-type: none"> <li>• <b>Notices</b></li> </ul>			
3.5.4.	Process of notification in relation to birth, death or marriage	Destroy <b>2</b> years after last action	<ul style="list-style-type: none"> <li>• Wedding banns</li> <li>• Notice of marriage</li> </ul>	Common practice
	<ul style="list-style-type: none"> <li>• <b>Coroners</b></li> </ul>			

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
3.5.5.	Summary registration of reported deaths	<b>Permanent. Offer to Archivist.</b> Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>Reported deaths register</li> </ul>	Set by Public Record Office
	<ul style="list-style-type: none"> <li><b>Coroner's case work</b></li> </ul> For further information please refer to Home Office website <a href="http://www.homeoffice.gov.uk/circulars/1999/hoc9959.htm">www.homeoffice.gov.uk/circulars/1999/hoc9959.htm</a>			
3.5.6.	The process and actions of inquiring into deaths which <b>do not proceed</b> to an inquest.	Destroy <b>15</b> years after last action	<ul style="list-style-type: none"> <li>Coroner's case files</li> </ul>	Set by Public Record Office
3.5.7.	The process and actions of inquiring into deaths which proceed to an inquest	<b>Permanent. Offer to Archivist for review.</b> Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>Coroner's case files</li> </ul>	Set by Public Record Office Can be sampled according to <ul style="list-style-type: none"> <li>set a precedent in law or practice;</li> <li>Relate to an individual, accident or crime subject to prolonged or repeated interest from the national media.</li> </ul>

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	• <b>Treasure Trove</b>			
3.5.8.	The process and actions of Treasure inquests	Destroy <b>2</b> years after last action		Set by Public Record Office
3.5.9.	• <b>Magistrates</b>			
	Refer to Lord Chancellor's publications (see Appendix. A)			

### 3.6. Human Resources

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	<ul style="list-style-type: none"> <li><b>Personnel Administration</b></li> </ul>			
3.6.1.	<p>Summary management systems that allow the monitoring &amp; management of employees in summary form</p> <p><u>Note: The summary information that this record class attempts to capture is:-</u></p> <p>Name DOB Date of appointment Work history details Position/designation Titles &amp; dates held</p>	<p><b>Permanent. Offer to Archivist for review.</b></p> <p>Transfer to place of deposit after administrative use is concluded</p>	<ul style="list-style-type: none"> <li>• Employment Register – Permanent Staff</li> <li>• Employment Register – Temporary Staff</li> <li>• Employment Register – Casual Staff</li> <li>• Registers of personnel files</li> <li>• Personal History cards</li> <li>• Superannuation history card</li> <li>• Salary master record</li> </ul>	Common practice



Ref. No.	Function Description	Retention Action	Examples of Records	Notes
3.6.2.	<p>The process of administering employees to ensure that entitlements &amp; obligations are in accordance with agreed employment requirements</p> <ul style="list-style-type: none"> <li>Records containing superannuation information</li> </ul>	Destroy 6 years from date of last pension payment	<ul style="list-style-type: none"> <li>Medical clearance</li> <li>Letter of appointment</li> <li>Letter of acceptance</li> <li>Details of assigned duties</li> <li>Probation reports</li> <li>Medical examinations</li> <li>Personal particulars</li> <li>Educational qualifications</li> <li>Declarations of pecuniary interests</li> <li>Secrecy undertakings</li> <li>Employment contracts</li> </ul>	Common practice
3.6.3.	Records relating to staff working with children	Destroyed along with all Personal Files after 7 years.		
3.6.4.	All other records	Termination + 6 years		
	<ul style="list-style-type: none"> <li><b>Employee and Industrial Relations</b></li> </ul>			

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
3.6.5.	Identification & development of significant directions concerning industrial matters	<b>Permanent. Offer to Archivist for review.</b> Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>• Generic agreements and awards</li> <li>• Negotiations</li> <li>• Disputes</li> <li>• Claims lodged</li> </ul>	Common practice
3.6.6.	Liaison processes of minor and routine industrial matters	Destroy <b>2</b> years after administrative use is concluded	<ul style="list-style-type: none"> <li>• Daily industrial relations management</li> </ul>	Common practice
3.6.7.	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	<ul style="list-style-type: none"> <li>• Disciplinary</li> </ul>	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)
3.6.8.	Processing of disciplinary and grievances investigations where unfounded	Destroy immediately after the grievance has been found to be have been unfounded; or after appeal	<ul style="list-style-type: none"> <li>• Disciplinary</li> </ul>	Common practice
	<ul style="list-style-type: none"> <li>• <b>Equal Employment Opportunities</b></li> </ul>			

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
3.6.9.	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 <b>5</b> years after action completed		Common practice
	• <b>Occupational Health</b>			
3.6.10.	The process of checking and ensuring the health of staff	Destroy <b>75</b> years after DOB	<ul style="list-style-type: none"> <li>• Health questionnaire</li> <li>• Medical clearance</li> <li>• Adjustment to work place</li> <li>• Restrictions</li> <li>• Recommendations</li> </ul>	Common practice
	• <b>Recruitment</b>			
3.6.11.	The selection of an individual for an established position	Destroy <b>1</b> year after recruitment has been finalised (For letter of appointment for successful candidate use employment conditions)	<ul style="list-style-type: none"> <li>• Advertisements</li> <li>• Applications</li> <li>• Referee reports</li> <li>• Interview reports</li> <li>• Unsuccessful applicants</li> </ul>	Common practice
3.6.12.	Psychometric testing	Destroy 12 months following recruitment	<ul style="list-style-type: none"> <li>• Evaluation reports</li> </ul>	As per external company guidelines, detailed on report

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	• <b>Staff Monitoring</b>			
3.6.13.	Performance	Destroy <b>7</b> years after action completed	<ul style="list-style-type: none"> <li>• Probation reports</li> <li>• Performance plans</li> </ul>	Common practice
3.6.14.	Process of monitoring staff leave and attendance	Destroy <b>2</b> years after action completed	<ul style="list-style-type: none"> <li>• Sick leave</li> <li>• Jury service</li> <li>• Study leave</li> <li>• Special and personal leave</li> <li>• Attendance books</li> <li>• Flexitime sheets</li> <li>• Leave applications</li> <li>• Clock on/off cards</li> <li>• Annual leave</li> </ul>	Common practice
	• <b>Staff Retention</b>			
3.6.15.	Financial reward	Destroy <b>7</b> years after action completed		Common practice All records relating to actual payments are dealt with under finance
3.6.16.	Other strategy	Destroy <b>3</b> years after action completed		Common practice
	• <b>Termination</b>			

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
3.6.17.	The process of termination of staff through voluntary redundancy, dismissal and retirement	Destroy <b>7</b> years after termination  If a pension is paid then records should be destroyed 6 years after last payment of pension	<ul style="list-style-type: none"> <li>• Resignation</li> <li>• Redundancy (Section 188)</li> <li>• Dismissal</li> <li>• Death</li> <li>• Retirement</li> </ul>	Common practice
	<ul style="list-style-type: none"> <li>• <b>Training and Development</b></li> </ul>			
3.6.18.	Routine staff training processes, not occupational health and safety or children related	Destroy <b>2</b> years after action completed	<ul style="list-style-type: none"> <li>• Course individual staff assessment</li> </ul>	Common practice
3.6.19.	Training (concerning children)	Destroy <b>35</b> years after training completed, or last entry	<ul style="list-style-type: none"> <li>• Course individual staff assessment</li> <li>• training register</li> </ul>	Common practice
3.6.20.	Training (occupational health and safety training)	Destroy <b>50</b> years after training completed  Individual course assessment records should be destroyed once the training has been renewed every 3 years	<ul style="list-style-type: none"> <li>• OH&amp;S training register</li> </ul>	Common practice
3.6.21.	Training (materials)	Destroy <b>1</b> year after course is superseded		Common practice
3.6.22.	Training (proof of completion)	Destroy <b>7</b> years after action completed	<ul style="list-style-type: none"> <li>• Certificates</li> <li>• Awards</li> <li>• Exam results</li> </ul>	Common practice

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	<ul style="list-style-type: none"> <li><b>Appointments of Statutory Officers</b></li> </ul>			
3.6.23.	Summary management systems that allow the monitoring & management of statutory officers in summary form	<b>Permanent. Offer to Archivist.</b> Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>Magistrates register</li> </ul>	Common practice
3.6.24.	The process of administering employees to ensure that entitlements & obligations are in accordance with agreed employment requirements	Destroy <b>6</b> years after departure from employment		Common practice
3.6.25.	The appointment of an individual for a statutory position	<b>Permanent. Offer to Archivist.</b> Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>Appointment Files</li> <li>Shrievalty</li> <li>Magistrates</li> <li>Lord Lieutenant</li> <li>Tax commissioners</li> </ul>	Common practice
3.6.26.	The process of selection of an individual for an statutory position	Destroy <b>2 years</b> after date of appointment	<ul style="list-style-type: none"> <li>Vacancies &amp; applications records</li> <li>Interview notes</li> <li>Prospective staff records</li> <li>Registers of applicants</li> <li>Unsuccessful applications records</li> </ul>	Common practice

### 3.7. Financial Management

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	• <b>Accounts &amp; Audit</b>			
	• <b>Reporting</b>			
3.7.1.	The process that consolidates financial transactions on an annual basis for corporate reporting purposes	<b>Permanent. Offer to Archivist.</b> Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>• Consolidated annual reports</li> <li>• Consolidated financial statements</li> <li>• Statement of financial position</li> <li>• Operating statements</li> <li>• General ledger</li> </ul>	Common practice

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
3.7.2.	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	<ul style="list-style-type: none"> <li>• Consolidated monthly &amp; quarterly reports</li> <li>• Consolidated monthly &amp; quarterly financial statements</li> <li>• Working papers for the preparation of the above</li> <li>• Monthly accrual statements</li> <li>• Cashflow statements</li> <li>• Creditor listings and reports</li> <li>• Debtor listings and reports</li> </ul>	Common practice
	<ul style="list-style-type: none"> <li>• <b>Financial Transactions Management</b></li> </ul>			
3.7.3.	Management of the approvals process for purchase, including investigations	Destroy <b>7</b> years after the end of the financial year in which the records were created	<ul style="list-style-type: none"> <li>• Appointments &amp; delegations</li> <li>• Audit investigations</li> <li>• Arrangements for the provision of goods and/or services</li> </ul>	Statutory



Ref. No.	Function Description	Retention Action	Examples of Records	Notes
3.7.4.	Identification of the receipt, expenditure and write offs of public monies	Destroy <b>6</b> years after the conclusion of the financial transaction that the record supports	<ul style="list-style-type: none"> <li>• Allowances</li> <li>• Work orders</li> <li>• Invoices</li> <li>• Credit card statements</li> <li>• Cash books</li> <li>• Receipts</li> <li>• Cheque counterfoils</li> <li>• Bank statements</li> <li>• Subsidiary ledgers (annual)</li> <li>• Journals (annual)</li> <li>• Vouchers</li> </ul>	Statutory This period may be reduced with the agreement of Customs and Excise and/or the Inland Revenue
3.7.5.	Process involving the provision and support for individuals using public transportation	Destroy <b>6</b> years after the conclusion of the financial transaction that the record supports	<ul style="list-style-type: none"> <li>• Applications</li> <li>• Card issue</li> <li>• Rail warrants</li> </ul>	Statutory
3.7.6.	Processes that balance & reconcile financial accounts	Destroy <b>2</b> years after administrative use is concluded	<ul style="list-style-type: none"> <li>• Reconciliation</li> <li>• Summaries of accounts</li> </ul>	Common practice
3.7.7.	Taxation Records	Destroy <b>5</b> years after the end of the financial year in which the records were created	<ul style="list-style-type: none"> <li>• Taxation records</li> <li>• Motor vehicle logs</li> <li>• Fringe benefits tax records</li> <li>• Group certificates</li> </ul>	Statutory

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
3.7.8.	Processes involved in the collection of National Insurance Number	Destroy <b>2</b> years after the employee ceases employment	<ul style="list-style-type: none"> <li>Notification &amp; input records</li> </ul>	Common practice
	<ul style="list-style-type: none"> <li><b>Payroll</b></li> </ul>			
3.7.9.	<b>Accountable</b> processes relating to payment of employees	Destroy <b>7</b> years after the conclusion of the financial transaction that the record supports	<ul style="list-style-type: none"> <li>Authority sheets</li> <li>Payroll deduction authorities</li> <li>Payroll disbursement</li> <li>Employee pay records</li> <li>Employee taxation records</li> </ul>	Statutory
3.7.10.	<b>Non-accountable</b> processes relating to payment of employees	Destroy after administrative use is concluded	<ul style="list-style-type: none"> <li>Summary employee pay reports</li> </ul>	Common practice
	<ul style="list-style-type: none"> <li><b>Financial Provisions</b></li> </ul>			
	<ul style="list-style-type: none"> <li><b>Budgets and Estimates</b></li> </ul>			
3.7.11.	The process of finalising local authorities' annual budget	<b>Permanent. Offer to Archivist.</b> Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>Annual budget</li> </ul>	Common practice Only the final version of the annual budget needs to be kept
3.7.12.	The process of developing local authorities' annual budget	Destroy <b>2</b> years after annual budget adopted by local authorities	<ul style="list-style-type: none"> <li>Draft budgets</li> <li>Departmental budgets</li> <li>Draft estimates</li> </ul>	Common practice

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
3.7.13.	The process of reporting which examines the budget in relation to actual revenue and expenditure	Destroy after <b>next</b> year's annual budget has been adopted by Local Authorities	<ul style="list-style-type: none"> <li>Quarterly statements</li> </ul>	Common practice
	<ul style="list-style-type: none"> <li><b>Loans</b></li> </ul>			
3.7.14.	The activity of borrowing money to enable a local authority to perform its functions and exercise its powers	Destroy <b>7</b> years after the loan has been repaid	<ul style="list-style-type: none"> <li>Loan files</li> </ul>	Statutory
3.7.15.	Summary management of loans	<b>Permanent. Offer to Archivist.</b> Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>Loans registers</li> </ul>	Common practice
	<ul style="list-style-type: none"> <li><b>Housing</b></li> </ul> The process of offering financial help with welfare housing provision and maintenance			
3.7.16.	Mortgages	Last payment + 6 years if signed Last payment +12 years if sealed	<ul style="list-style-type: none"> <li>Mortgage agreements</li> <li>Correspondence</li> </ul>	Statutory
3.7.17.	"Right to Buy"	Destroy 12 years after sale of house	<ul style="list-style-type: none"> <li>Sale documents</li> <li>Agreement concerning sale</li> </ul>	Common practice

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
3.7.18.	Rent Payments	Destroy 7 years after the end of the financial year in which created	<ul style="list-style-type: none"> <li>• Rent books</li> <li>• Correspondence concerning payment</li> <li>• Requests for payment</li> </ul>	Statutory
3.7.19.	Home Improvement Grants	Destroy 6 years after last payment for grants under £50 000, For grants over £50 000 destroy 12 years after last payment  Where plans and detailed drawings included <b>offer to Archivist.</b>	<ul style="list-style-type: none"> <li>• Agreement to pay loan</li> <li>• Details of payments</li> <li>• Correspondence relating to loan</li> </ul>	Statutory
	<ul style="list-style-type: none"> <li>• <b>Business Rates / Council Tax Valuation</b></li> </ul>			
3.7.20.	The valuation of domestic and rateable properties within a municipal district for the purpose of local taxation.	<b>Valuation lists - Permanent. Offer to Archivist for review</b>  Destroy <b>10</b> years after the year in which the valuation was made	<ul style="list-style-type: none"> <li>• Valuation / Rating lists</li> <li>• Correspondence</li> <li>• Reports</li> </ul>	Common practice
	<ul style="list-style-type: none"> <li>• <b>Property History</b></li> </ul>			

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
3.7.21.	<p>The recording of information for rateable properties identifying the person or company rated, including details of the value of the property.</p> <p>Note: Records containing accounting information primarily, and not being a source of property history, should be disposed of according to the appropriate record class within the <b>Accounts &amp; Audit</b> function.</p>	<p><b>Permanent. Offer to Archivist for review.</b></p> <p>Transfer to Place of Deposit after administrative use is concluded</p>	<ul style="list-style-type: none"> <li>Register of Rateable Properties</li> </ul>	Common practice
	<ul style="list-style-type: none"> <li><b>Business Rates / Local Taxation and Benefit Correspondence</b></li> </ul>			

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
3.7.22.	<p>The activity of corresponding with ratepayers in relation to valuations, rates and charges, objections, submissions, appeals, rate remissions and other rates related matters.</p> <p>The activity of corresponding to Benefit claimants relating to claims, change in circumstances, appeals and other related matters.</p>	Destroy <b>7</b> years after last action	<ul style="list-style-type: none"> <li>• Notices</li> <li>• Objections</li> <li>• Applications</li> <li>• Correspondence</li> <li>• Rate certificates</li> <li>• Notices of acquisition and disposition</li> <li>• Rate property files</li> <li>• Claims for benefit</li> <li>• Correspondence</li> <li>• Appeals</li> </ul>	Common practice
	<ul style="list-style-type: none"> <li>• <b>Summary Assets Management</b></li> </ul>			
3.7.23.	See <b>Property Management</b> for real property assets. See <b>Transport Management</b> for vehicle assets.			
3.7.24.	Summary management reporting on the overall assets of the local authorities	<p><b>Permanent. Offer to Archivist.</b></p> <p>Transfer to place of deposit after administrative use is concluded</p>	<ul style="list-style-type: none"> <li>• Schedules of acquisitions</li> <li>• Consolidated current asset reports</li> <li>• Annual reports</li> <li>• Summary of current assets</li> <li>• Asset registers</li> </ul>	Common practice

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	<ul style="list-style-type: none"> <li><b>Asset Monitoring and Maintenance</b></li> </ul>			
3.7.25.	Management systems that allow the monitoring & management of assets in summary form	Destroy <b>7</b> years after the conclusion of the financial transaction that the record supports	<ul style="list-style-type: none"> <li>Subsidiary asset registers</li> </ul>	Common practice
3.7.26.	Process of reporting and reviewing assets status	Destroy <b>2</b> years after administrative use is concluded	<ul style="list-style-type: none"> <li>Routine returns and reports on asset status</li> <li>Inventories</li> <li>Stocktaking</li> <li>Surveys of usage</li> <li>Acquisition and disposal reports &amp; proposals</li> </ul>	Common practice
3.7.27.	The process of maintaining assets	Destroy <b>7</b> years after last action	<ul style="list-style-type: none"> <li>Garden maintenance</li> <li>Cleaning</li> <li>Painting</li> </ul>	Common practice
3.7.28.	The process of maintaining plant and equipment	Destroy <b>7</b> years after sale or disposal of asset	<ul style="list-style-type: none"> <li>Service records</li> <li>Plant files</li> </ul>	Common practice
	<ul style="list-style-type: none"> <li><b>Asset Acquisition and Disposal</b></li> </ul>			

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
3.7.29.	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	<ul style="list-style-type: none"> <li>• Legal documents relating to the purchase/sale</li> <li>• Particulars of sale documents</li> <li>• Board of survey</li> <li>• Leases</li> <li>• Applications for leases, licences &amp; rental revision</li> <li>• Tender documents</li> <li>• Conditions of contracts</li> <li>• Certificates of approval</li> </ul>	Statutory



### 3.8. Property and Land Management

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	<ul style="list-style-type: none"> <li><b>Property and Land Management</b></li> </ul>			
3.8.1.	Reports to management on overall property of the local authority	<b>Permanent. Offer to Archivist.</b> Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>Consolidated property &amp; buildings annual reports</li> <li>Summary of leased property</li> <li>Summary of local authority's owned property</li> <li>Site register</li> <li>Register of leases</li> </ul>	Common practice
	<ul style="list-style-type: none"> <li><b>Property Acquisition and Disposal</b> [see also <b>Conveyance</b>]</li> </ul>			
3.8.2.	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 <b>Archivist for review</b>	<ul style="list-style-type: none"> <li>Plans</li> </ul>	Common practice

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
3.8.3.	Management of the disposal (by sale or write off) process for real property	Destroy <b>15</b> years after all obligations/entitlements are concluded. Offer material re major/significant properties to <b>Archivist for review</b>	<ul style="list-style-type: none"> <li>• Legal documents relating to the sale</li> <li>• Particulars of sale documents</li> <li>• Board of Survey</li> <li>• Tender documents</li> <li>• Conditions of contracts</li> </ul>	Common practice
	<ul style="list-style-type: none"> <li>• <b>Property Development and Renovation</b></li> </ul>			
3.8.4.	The process of managing and undertaking renovations and development of property			
3.8.5.	Management <ul style="list-style-type: none"> <li>• buildings and estates of “special interest”</li> </ul>	<b>Permanent. Offer to Archivist.</b> Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>• Project specifications</li> <li>• Plans</li> <li>• Installation manuals</li> <li>• Certificates of approval</li> </ul>	Common practice
3.8.6.	Management <ul style="list-style-type: none"> <li>• all other buildings and estates</li> </ul>	Retain for life of property or building	<ul style="list-style-type: none"> <li>• Project specifications</li> <li>• Plans</li> <li>• Installation manuals</li> <li>• Certificates of approval</li> </ul>	Common practice For <b>asbestos</b> see health and safety under <b>General Public Services</b>
3.8.7.	The action process involved in the development and renovation of property	Destroy <b>7</b> years after the conclusion of the transaction that the record supports	<ul style="list-style-type: none"> <li>• Work orders</li> <li>• Tender documents</li> <li>• Conditions of contracts</li> </ul>	Common practice

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	<ul style="list-style-type: none"> <li><b>Leasing and Occupancy</b></li> </ul>			
3.8.8.	The process of managing leased property	Destroy <b>15</b> years after the expiry of the lease	<ul style="list-style-type: none"> <li>Lease agreements</li> <li>Rental expenditure authorities</li> <li>Valuation queries</li> <li>Applications for leases, licences &amp; rental revision</li> </ul>	Common practice
3.8.9.	The process of managing the occupancy of property	Destroy <b>7</b> years after the conclusion of the transaction that the record supports	<ul style="list-style-type: none"> <li>Requests for works, cleaning, etc.</li> </ul>	Common practice
	<ul style="list-style-type: none"> <li><b>Housing Provision</b></li> </ul>			
3.8.10.	The process of managing local authority welfare housing estates	Destroy 4 years after last action	<ul style="list-style-type: none"> <li>Stock monitoring records</li> </ul>	Common practice
	<ul style="list-style-type: none"> <li><b>Systems Management</b></li> </ul>			
3.8.11.	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		
3.8.12.	The process to implement a system used to support the activities of the local authority	Destroy <b>7</b> years after last action	<ul style="list-style-type: none"> <li>Implementation plan</li> </ul>	

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
3.8.13.	The process to support and administer a system used to support the activities of the local authority	Destroy <b>5</b> years after last action		
	• <b>Transport Management</b>			
3.8.14.	The process of acquisition and disposal of vehicles through lease or purchase	Destroy <b>7</b> years after the disposal of the vehicle	<ul style="list-style-type: none"> <li>• Leases</li> <li>• Contracts</li> <li>• Quotes</li> <li>• Approvals</li> <li>• Fleet authorisation numbers</li> </ul>	
3.8.15.	The process of managing allocation & maintenance of vehicles	Destroy <b>7</b> years after the sale or disposal of the vehicle	<ul style="list-style-type: none"> <li>• Approvals as drivers</li> <li>• Allocations &amp; authorisations for vehicles</li> <li>• Maintenance</li> </ul>	
3.8.16.	The process of recording vehicle usage	Destroy <b>3</b> years after the sale or disposal of the vehicle	<ul style="list-style-type: none"> <li>• Vehicle usage reports</li> </ul>	
3.8.17.	The process of recording drivers usage	Destroy <b>7</b> years after closure	<ul style="list-style-type: none"> <li>• Vehicle log book</li> </ul>	
	• <b>Insurance</b>			
	• <b>Policy Management</b>			

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
3.8.18.	The summary management of insurance arrangements	<b>Permanent. Offer to Archivist.</b> Transfer to place of deposit after administrative use is concluded.	<ul style="list-style-type: none"> <li>Insurance register</li> </ul>	
3.8.19.	The process of insuring local authority officers, property, vehicles and equipment against negligence, loss or damage	Destroy after 80 years	<ul style="list-style-type: none"> <li>Insurance policies</li> <li>Correspondence</li> </ul>	
3.8.20.	The process of renewing insurance policies	Destroy <b>5</b> years after the insurance policy has been renewed	<ul style="list-style-type: none"> <li>Insurance policy Renewal records</li> <li>Correspondence</li> </ul>	
	<b>• Claims Management</b>			
3.8.21.	The process that records insurance claims against the local authority or local authority officers	Destroy <b>7</b> years after all obligations/entitlements are concluded (allowing for the claimant to reach <b>25</b> years of age)	<ul style="list-style-type: none"> <li>Claims records</li> <li>Correspondence</li> </ul>	

### 3.9. General Public Services

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	• <b>Health and Safety</b>			
	• <b>Inspections and Assessments</b>			
3.9.1.	Process of inspecting equipment to ensure it is safe	Destroy <b>6</b> Years from destruction of the equipment	• Equipment inspection records	Statutory
3.9.2.	Processing the geo-technical assessments of a quarry	When quarry is no longer in use consult or refer to Health and Safety Executive (HSE)		Statutory
3.9.3.	Process of carrying out monitoring to ensure that the process is safe	Destroy <b>3</b> Years from last action	• Monitoring results	Statutory
3.9.4.	Process of monitoring of areas where employees and persons are likely to have become in contact with <b>asbestos</b>	Destroy <b>40</b> Years from last action	• Property asbestos files	Common practice based on Statutory
3.9.5.	Process of monitoring of areas where employees and persons are likely to have come in contact with <b>radiation</b>	Destroy <b>50</b> Years from last action or at age <b>75</b> years whichever is the greater	• Radon monitoring	
3.9.6.	Process to ensure safe systems of work	Retain until superseded or process ceases + <b>1</b> year		Common practice

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
3.9.7.	Process to assess the level of risk	Destroy <b>3</b> Years from last assessment	<ul style="list-style-type: none"> <li>Risk assessment</li> </ul>	Statutory
3.9.8.	Processes that permit work	Destroy <b>1</b> Year from last action		Common practice
3.9.9.	Process that records injuries to adults	Destroy <b>4</b> Years from closure	<ul style="list-style-type: none"> <li>Accident books</li> </ul>	Statutory
3.9.10.	Process that records injuries to children	Destroy <b>25</b> Years from closure	<ul style="list-style-type: none"> <li>Accident books</li> </ul>	Based on Statutory
	<ul style="list-style-type: none"> <li><b>Emergency Planning</b></li> </ul>			
3.9.11.	Process to develop the emergency/disaster plan for the local community	<b>Permanent. Offer to Archivist for review.</b> Transfer to place of deposit after superseded	<ul style="list-style-type: none"> <li>Major Incident Plan</li> </ul>	
3.9.12.	Process of recording the results of the test for emergency/disaster plan for the local community	Destroy <b>10</b> years after closure		
	<ul style="list-style-type: none"> <li><b>Major Incident</b></li> </ul>			
3.9.13.	Activities that report on all major incidents in the local community, whether the emergency plan has been invoked or not	<b>Permanent. Offer to Archivist for review.</b> Transfer to place of deposit after administrative use is concluded		
3.9.14.	Activities that report on all minor incidents in the local community	Destroy <b>7</b> years after closure		

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	<ul style="list-style-type: none"> <li>• <b>Enforcement Certification and Prosecution</b></li> </ul>			
	<ul style="list-style-type: none"> <li>• <b>Registration, Certification and Licensing</b></li> </ul>			
3.9.15.	Summary management systems that allow the monitoring & management of registration, certification and licences registration requirements in summary form	<b>Permanent. Offer to Archivist for review.</b> Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>• Visual impairment register</li> </ul>	Common practice



Ref. No.	Function Description	Retention Action	Examples of Records	Notes
3.9.16.	The administration of applications, registration, certification and licences in relation to local authorities' registration requirements	Destroy <b>2</b> years after registration or entitlement lapses	<ul style="list-style-type: none"> <li>• Applications for animal registration</li> <li>• Applications for registration of a business premises</li> <li>• Applications for release of animals impounded</li> <li>• Registers</li> <li>• Certificates of registration of: door supervisors, taxi drivers, beauty therapists</li> <li>• Animal movement licences</li> <li>• Gaming</li> <li>• Fire certification</li> <li>• Disabled Parking permits</li> <li>• Blue badge</li> <li>• Registration to sell poison</li> </ul>	<u>Statutory</u> Note: may want <b>archival review</b> in cases of licensing of children in entertainment
3.9.17.	The process involved in licensing sites for the holding or use of toxic or hazardous substances. (including petroleum, agricultural chemical products or herbicides)	<b>Permanent. Offer to Archivist.</b> Transfer to place of deposit after administrative use is concluded - <b>60</b> years after registration or entitlement lapses	<ul style="list-style-type: none"> <li>• Diesel licences</li> <li>• Petroleum licences</li> <li>• Health and safety licensing</li> <li>• Hazardous substances</li> <li>• Contaminated land register/pollution</li> </ul>	Common practice

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
3.9.18.	The process of registration of homes or carers for the care and support of children, in the responsibility of the local authority	<b>Permanent. Offer to Archivist.</b> Transfer to place of deposit after administrative use is concluded - <b>25</b> years from closure of centre, or discontinuation of care	<ul style="list-style-type: none"> <li>• Organisation files</li> <li>• Child carers files</li> <li>• Childcare registration</li> <li>• Day care registration</li> <li>• Children's home</li> </ul>	Common practice The responsibility of OFSTED from 1 <sup>st</sup> April 2002
	<b>• Notification</b>			
3.9.19.	The process of issuing notices to citizens with respect to particular responsibilities	Destroy <b>2</b> years after the matter is concluded	<ul style="list-style-type: none"> <li>• Fire Prevention notices</li> <li>• Fire Prevention Infringement notices</li> <li>• Objections to notices</li> <li>• Appeals against notices</li> <li>• Registration of premises Infringement notices</li> <li>• Animal Impounding notices</li> </ul>	Common practice
	<b>• Investigation, Inspection and Monitoring</b>			
3.9.20.	The process of investigation, monitoring or inspection laws in the responsibility of the local authority	Destroy <b>7</b> years from last action.	<ul style="list-style-type: none"> <li>• Trading standards sample and inspections records</li> <li>• Fire certificate compliance inspections</li> </ul>	Common practice
	<b>• Prosecution</b>			

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
3.9.21.	The process of prosecution or sanction of an individual or organisation for failing to comply with their legal responsibilities	Destroy <b>7</b> years from last action.	<ul style="list-style-type: none"> <li>Prosecution/sanction files</li> </ul>	Common practice
	<ul style="list-style-type: none"> <li><b>Bye-Laws</b></li> </ul>			
	<ul style="list-style-type: none"> <li><b>Enactment</b></li> </ul>			
3.9.22.	The process of making local laws	<b>Permanent. Offer to Archivist for review.</b> Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>Master Set of bye-laws</li> <li>Policy Development documents</li> <li>Correspondence</li> <li>Submissions</li> </ul>	Common practice
	<ul style="list-style-type: none"> <li><b>Administration &amp; Enforcement</b></li> </ul>			
3.9.23.	The process of administering and enforcing bye-laws	Destroy <b>6 months</b> after certificate has expired or penalty payment has been made or the matter has been finished or correspondence on the matter has ceased	<ul style="list-style-type: none"> <li>Applications and certificates</li> <li>Permits</li> <li>Licences</li> <li>Infringement notices (Parking)</li> <li>Correspondence</li> </ul>	
	<ul style="list-style-type: none"> <li><b>Cemeteries &amp; Crematoria</b></li> </ul>			

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
3.9.24.	Summary management systems that record the location of burials and identity of deceased individuals	<b>Permanent. Offer to Archivist.</b> Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>• Register of interments</li> <li>• Cemetery register</li> <li>• Cemetery plans</li> </ul>	Common practice
3.9.25.	The process of regulation of burials and cremations	Destroy <b>5</b> year after last action	<ul style="list-style-type: none"> <li>• Permits</li> <li>• Applications</li> <li>• Orders</li> </ul>	Common practice
	<b>• Waste Management</b>			
	The provision of hard waste removal, destruction and waste reduction services by the local authority to ratepayers			
	<b>• Collection</b>			
3.9.26.	The process of arranging the collection or transportation of household waste	Destroy <b>2</b> year after last action		Common practice
3.9.27.	The process of arranging the collection or transportation of controlled waste	Destroy <b>6</b> year after last action		Common practice
	<b>• Disposal of Waste</b>			

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
3.9.28.	The summary management of sites used for the disposal of waste within the local authority	<b>Permanent. Offer to Archivist.</b> Transfer to place of deposit after administrative use is concluded		Common practice
3.9.29.	The process of the short-term storage of household waste	Destroy <b>10</b> year after site closure	<ul style="list-style-type: none"> <li>• Transfer sites</li> </ul>	Common practice
3.9.30.	The process involved in managing the use, type and amount of waste to be disposed at a specific site	<b>Permanent. Offer to Archivist for review.</b> Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>• Waste site plans</li> </ul>	Common practice
3.9.31.	Recording and storage of CCTV footage for the prevention and detection of crime	30 calendar days		Common practice

### 3.10. Planning and Land Use

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	<ul style="list-style-type: none"> <li><b>Planning Scheme Development and Amendment</b></li> </ul>			
3.10.1.	The activity of developing a vision and strategic directions regarding existing and future land use within the Local Authority to ensure the implementation of the Unitary Development Plan and its replacement the Local Development Framework	<b>Permanent. Offer to Archivist</b> when plan superseded	<ul style="list-style-type: none"> <li>Unitary Development Plans</li> <li>Local Development Framework (Development Plan Documents)</li> <li>Local Development Framework (Supplementary Planning Documents)</li> </ul>	Common practice
3.10.2.	The activity of consultation to gain approval for the Unitary Development Plan and its replacement the Local Development Framework	<b>Permanent. Offer to Archivist</b> for review after 3 years	<ul style="list-style-type: none"> <li>Consultation documents and replies</li> <li>Inquiries and objections made by members of public</li> <li>Public Inquiry documents</li> </ul>	Common practice

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
3.10.3.	The activity of recording information on historical buildings, monuments and ecology at a specific site	<b>Permanent. Offer to Archivist for review.</b> Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>• Sites and Monuments records</li> <li>• Ecological records</li> <li>• Species records</li> <li>• Historically listed buildings</li> <li>• Definitive map</li> <li>• Commons registration</li> </ul>	Common practice
3.10.4.	The activity of establishing planning scheme controls and providing for them to be amended	<b>Permanent. Offer to Archivist.</b> Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>• Successful Waste Planning application</li> <li>• Successful Mineral Planning applications</li> <li>• Amendments to definitive map</li> <li>• Mineral Register</li> <li>• Applications for mineral extraction</li> <li>• Land Use surveys</li> </ul>	Common practice

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
3.10.5.	The process of receiving, considering and responding to submissions and objections to planning schemes and amendments	Destroy <b>15</b> years after decision. <b>Offer controversial/high profile schemes to Archivist</b>	<ul style="list-style-type: none"> <li>Waste Planning application consultation</li> <li>Mineral Planning applications consultation</li> <li>Objections</li> <li>Inquiries – Public etc</li> <li>Archaeological: advice/conditions</li> </ul>	Common practice
3.10.6.	The process of controlling development of areas through applications for planning permission	Transfer planning application register to <b>Archivist</b> once the register has been completed (or at arranged intervals if it is held electronically) Refer all other records to <b>Archivist</b> for sampling	<ul style="list-style-type: none"> <li>Planning application files and plans</li> <li>Correspondence relating to any objections</li> <li>Hearing papers</li> <li>Planning application register</li> </ul>	Common practice
3.10.7.	The process of maintaining the countryside and developing open spaces for public amenity	Refer all files relating to policy to the <b>Archivist</b> Destroy other files <b>7</b> years after administrative use concluded	<ul style="list-style-type: none"> <li>Tree Preservation Orders</li> <li>Country parks and nature reserves development plans and correspondence, land purchase agreements</li> </ul>	Common practice
	<ul style="list-style-type: none"> <li><b>Planning Scheme Regulation</b></li> </ul>			



Ref. No.	Function Description	Retention Action	Examples of Records	Notes
3.10.8.	The summary management of planning scheme regulation	<b>Permanent. Offer to Archivist.</b> Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>• Building Control registers</li> </ul>	Common practice
3.10.9.	The process of regulating the planned use of land or buildings	Destroy <b>15</b> years after closure		Common practice
3.10.10.	The process of approving building applications in relation to listed or other significant buildings	<b>Permanent. Offer to Archivist for review.</b> Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>• Building files</li> <li>• Plans</li> <li>• Specifications</li> <li>• Correspondence</li> <li>• Applications</li> <li>• Permits</li> <li>• Certificates</li> </ul>	Common practice
3.10.11.	The process of approving building applications, for all other buildings	Destroy <b>15</b> years after construction completed	<ul style="list-style-type: none"> <li>• Building files</li> <li>• Plans</li> <li>• Specifications</li> <li>• Correspondence</li> <li>• Applications</li> <li>• Permits</li> <li>• Certificate</li> <li>• Objections</li> </ul>	Common practice

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
3.10.12.	The process of inspecting building work for the purpose of insuring compliance	Destroy <b>10</b> years after the issue of a certificate of final inspection	<ul style="list-style-type: none"> <li>• Certificate of final inspection</li> <li>• Objections</li> <li>• Building Inspection records</li> <li>• Diaries</li> </ul>	Common practice
3.10.13.	The process of enforcing building or land regulations	Destroy <b>3</b> years after compliance with enforcement notice		

### 3.11. Infrastructure and Transport

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	<ul style="list-style-type: none"> <li>• <b>Planning and Development</b></li> </ul>			
3.11.1.	The activity of developing a vision and strategic directions regarding existing transport and infrastructure within the municipality	<b>Permanent. Offer to Archivist.</b> Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>• Structure Plan</li> <li>• Local transport plan</li> </ul>	Common practice
3.11.2.	The activity of recording location of highways, bridle paths and rights of way	<b>Permanent. Offer to Archivist.</b> Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>• Definitive map</li> <li>• Correspondence concerning enquiries and disputes</li> </ul>	Common practice
3.11.3.	The activity of establishing planning scheme controls and providing for them to be amended and modified	<b>Permanent. Offer to Archivist.</b> Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>• Amendments to definitive map</li> <li>• Road adoption</li> </ul>	Common practice

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
3.11.4.	The process of receiving, considering and responding to submissions and objections to planning schemes and amendments	Destroy <b>7</b> years after decision. <b>Offer controversial/high profile schemes to Archivist</b>	<ul style="list-style-type: none"> <li>Enquiries, consultation documents, objections and correspondence</li> </ul>	Common practice
3.11.5.	The process of enforcing infrastructure and transport regulations	Destroy <b>50</b> years after enforcement notice. Destroy <b>3</b> years after compliance with enforcement notice.		Common practice
	• <b>Traffic Management</b>			
3.11.6.	The activity of planning, and programming the continued flow, diversion or reduction of traffic	Destroy <b>7</b> years after action completed	<ul style="list-style-type: none"> <li>Traffic orders</li> </ul>	Common practice
	• <b>Design and Construction</b>			
3.11.7.	The activity of planning, designing, programming and constructing roads, streets, bridges, and tunnels	<b>Permanent. Offer to Archivist for review.</b> Transfer to place of deposit after administrative use is concluded		Common practice
	• <b>Infrastructure Management and Maintenance</b>			

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
3.11.8.	The activity of providing municipal services in relation to infrastructure within the local authority	Destroy <b>7</b> years after last action	<ul style="list-style-type: none"> <li>• Street files</li> <li>• Street records</li> </ul> Requests for: <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 application</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
	<ul style="list-style-type: none"> <li>• <b>Road Maintenance</b></li> </ul>			

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
3.11.9.	The activity of maintaining and repairing roads, streets, bridges, bridle paths, rights of way and tunnels	Destroy <b>12</b> years after action completed		Common practice
	• <b>Public Transport</b>			
3.11.10.	Services			
3.11.11.	The activities involved in the management and provision of public transport	Destroy <b>3</b> years after superseded or last action.	<ul style="list-style-type: none"> <li>• Timetables and routes</li> <li>• Maps</li> <li>• Fares</li> <li>• Customer and industry liaison</li> </ul>	Common practice

## Index

This index is not intended to be exhaustive always check the table of contents and the schedule itself if the item does not appear in the index.

<b>A</b>	<b>Page</b>
Accession registers	16
Accident book – injuries to adults	58
Accident book – injuries to children	58
Accounts, summaries of	45
Accrual statements	43
Acquisition and disposal of assets - Certificates of approval	51
Acquisition and disposal of assets 4- Board of Survey	51
Acquisition and disposition - notices of	49
Acquisitions , schedule of	49
Adjustment to workplace	39
Admissions registers – residential homes	26
Adoption files	20
Adoptive parents - counselling files	21
Adoptive parents – approval of	21
Advertisements – recruitment	39
Agenda – Council	11
Agenda – External Committees	12
Allowances – financial	44
Amendments to definitive map	66
Animal impounding notices	61
Animal movement licences	60
Animal registration	60
Annual budget	46
Annual leave	40
Application for leases, licences and rental revision	51
Appointment files of statutory officers	42
Approvals as drivers	55
Asbestos files relating to property	57
Asset acquisition and disposal - legal documents relating to the sale	51
Asset acquisition and disposal - particulars of sale	51
Asset Management Plan	15
Asset monitoring - inventories	50

<b>A</b>	<b>Page</b>
Asset monitoring - stocktaking	50
Asset monitoring - surveys of usage	50
Asset registers	49
Audit investigations	44
<b>B</b>	<b>Page</b>
Ballot papers	11
Bank statements	44
Best Value review	17
Birth Certificate	33
Blue badge	60
Briefing and discussion papers	12
Budget - quarterly statements	46
Building Control, register of	67
Building inspection records – planning scheme regulation	68
Building management - project specifications	53
Bus shelters	71
Business plans	14
Business premises, registration of	60
Bye-laws - administration of, certificates	62
Bye-laws - master set of	62
Bye-laws – permits	62
<b>C</b>	<b>Page</b>
Cash books	44
Cash flow statements	43
CCTV	64
Cemeteries and Crematoria – applications	63
Cemetery plans	63
Cemetery register	63
Certificate of Final Inspection – Building work	68
Certificates of approval – management of buildings	53
Cheque counterfoils	44
Child Care – carer case files	61
Child Care – case files, litigation	28
Child Care – registration of homes and carers	61
Child Protection – case files	22
Child Protection – register	21

## Index

<b>C</b>	<b>Page</b>	<b>C</b>	<b>Page</b>
Children's homes	20	Corporate Plans	14
Children's homes – register of	20	Correspondence – bye-laws	62
Children's Services plan	15	Correspondence – Council	17
Civic and Royal - photographs	19	Correspondence – enquiries	17
Civic and Royal - video tapes	19	Correspondence – home	47
Civic and Royal – visitors' book	19	improvement grants	
Civil litigation - case file	28	Correspondence – housing	26
Claims - lodged, employee and	37	Correspondence – insurance	56
industrial relations		Correspondence – litigation	28
Committee – recommendations	12	Correspondence – mortgages	47
Committee minutes - indexes	11	Correspondence – planning	67, 69, 70
Committee reports	11	Correspondence – business rates	49
Commons Registration	66	and council tax	
Community Plan	15	Correspondence – rent	47
Community Safety Plan	15	Correspondence – tenancy	27
Community Strategy	15	Council - precedent	15
Complaints, register of	17	Council - printed material	17
Concordat – agreeing terms	28	Council – procedure	15
between organisations		Council agenda and business	11
Consolidated annual reports	43, 52	papers	
Consolidated current asset reports	49	Council briefing and discussion	11
Consolidated financial statements	43	papers	
Consolidated monthly & quarterly	43	Council housing application forms	27
reports		Council Housing, register of	27
Consultation	16, 65, 66, 70	Council letters - form letters	17
Contaminated land	60	Council minutes	11
register/pollution		Council notice papers and	11
Contract – clarification of	30	proceedings	
Contract - extension of	31	Council reports	11
Contract development - project	29	Country parks and nature reserve	67
files		development plans	
Contract management - changes	31	Course reports – child	25
to requirements		development	
Contract management -	31	Credit card statements	44
compliance reports		Creditor listings	43
Contract management - minutes	31	Criminal case file – litigation	28
and papers of meetings		Current Assets, summary of	49
Contract management -	31		
performance reports			
Contract management - service	31		
level agreements			
Contract management - signed	31		
contract			
Contracts - disputes on payment	31		
Contracts - expressions of interest	29		
Conveyancing files	29		
Coroners case files	34		

<b>D</b>	<b>Page</b>
Daily industrial relations	38
management	
Day care registration	61
Death certificate	33
Debtor listings	43
Definitive map – historic buildings	66



## Index

<b>D</b>	<b>Page</b>	<b>E</b>	<b>Page</b>
Delegations to Special Committees, register of	11	Employees - retirement	40
Departmental budgets	46	Employees - salary master record	36
Diesel licences	60	Employees - secrecy undertakings	37
Disabled parking permits	60	Employees - sick leave	40
Disposal certificates	16	Employees - special and personal leave	40
Draft budgets	46	Employees - Superannuation history card	36
Draft estimates	46	Employment contracts	37
Draft/rough minutes	11	Employment Register – Casual Staff	36
		Employment Register – Permanent Staff	36
		Employment Register – Temporary Staff	36
		Equipment inspection records	57
<b>E</b>	<b>Page</b>		
Ecological records	66	<b>F</b>	<b>Page</b>
Education plan	15	Family support - parenting skills	23
Electoral Register	11	Family support – project files	23
Employee relations - generic agreements and awards	37	Financial - operating statements	43
Employees - flexitime sheets	40	Financial - rail warrants	44
Employees - pay records	45	Financial – reconciliation	44
Employees - study leave	40	Financial - vouchers	44
Employees - summary pay reports	45	Financial - work orders	44
Employees - taxation records	45	Financial Management - general ledger	43
Employees – attendance books	40	Financial position, statement of	43
Employees - awards	37	Financial Statements	43
Employees - clock on/off cards	40	Financial transactions - journals (annual)	44
Employees - declarations of pecuniary interests	37	Financial transactions - notification & input records	45
Employees - disciplinary	38	Financial transactions	44
Employees - dismissal	40	Management - appointments and delegations	
Employees - disputes	37	Fire certificate compliance inspections	61
Employees - educational qualifications	37	Fire certification	60
Employees - health questionnaire	39	Fire Prevention infringement notices	61
Employees - jury service	40	Fire Prevention notices	61
Employees - leave applications	40	Fostering - privately fostered children's files	20
Employees - letter of acceptance	37		
Employees - medical clearance	37, 39		
Employees - medical examinations	37		
Employees - performance plans	39		
Employees - personal history cards	36		
Employees - personal particulars	37		
Employees - probation reports	37		
Employees - redundancy (section 188 )	40		
Employees - resignation	40		
		<b>G</b>	<b>Page</b>

## Index

<b>G</b>	<b>Page</b>	<b>L</b>	<b>Page</b>
Gaming licences	60	Leasing - rental expenditure	54
Garden maintenance	50	authorities	
Goods and/or services -	44	Level crossings	71
arrangements for the provision of		Licences	54, 60
Guardian ad litem files	20	Licensing of animals - certificates	60
		Listed Buildings	68
		Loan files	46
		Loans Register	46
		Local Authorities' owned property,	52
		summary of	
		Local Transport Plan	69
		Looked after children - client files	20
		Lord Lieutenant	13, 42
<b>H</b>	<b>Page</b>	<b>M</b>	<b>Page</b>
Hazardous substances licensing	60	Magistrates	35
Health and safety licensing	60	Magistrates register	42
Hedge clipping	71	Maintaining Assets - cleaning	50
HGV application	71	Major Incident Plan	58
Honours nomination form	13	Management of buildings –	53
Honours submissions - letters of	13	installation manuals	
support		Marriage - notice of	33
Housing - application for	27	Marriage certificate	33
emergency housing or referral		Marriage register	33
Housing - rent books	47	Media reports	18
		Mental Health files	24
		Mineral Planning applications	66
		Mineral Register	66
		Minutes	11
		Minutes – Committee	11
		Minutes, strategic management	14
		team	
		Mortgage agreements	47
<b>I</b>	<b>Page</b>	<b>N</b>	<b>Page</b>
Industrial relations - negotiations	37	Naming of streets	71
Information Audit - authorised lists	16	Numbering of houses	71
of file headings			
Information Management -	16		
classification schemes			
Information Management -	16		
depositor files			
Information Management, register	16		
of			
Infringement notices	61, 62		
Insurance claims – records	56		
Insurance policies	56		
Insurance policy renewal	56		
Insurance register	56		
Invoices	44		
<b>L</b>	<b>Page</b>	<b>O</b>	<b>Page</b>
Land Use surveys	66	Occupational Health –	39
Leader of council papers	13	recommendations	
Leader of opposition papers	13	Occupational Health - restrictions	39
Learning disability	24	Occupational Health & Safety	41
Lease agreements	54	training register	
Leased Property, summary of	52	Occupational therapy	24
Leases	51, 52		
Leases, register of	52		

## Index

<b>O</b>	<b>Page</b>
Ombudsman	17
Organisation Charts	15

  

<b>P</b>	<b>Page</b>
Parking	60, 62
Payroll – authority sheets	45
Payroll deduction authorities	45
Payroll disbursement	45
Personal services - communication support	24
Personal services - day service provision	24
Personal services – drug and alcohol misuse	24
Personal services - home care	24
Personal services - rehabilitation and discharge	24
Personnel files, register of	36
Petroleum licences	60
Physical disabilities	24
Planning application files	67
Planning application register	67
Planning approval - building files	68
Planning schemes and amendments – archaeological	66
Plans – country parks and nature reserve development	67
Plans – development control	67
Plans – listed buildings	68
Plant and equipment – maintenance	50
Plant and equipment - service records	50
Poison, registration to sell	60
Policy	15
Post tender negotiation minutes	30
Press cuttings	18
Property development – work orders	53
Property management - requests for works	54
Property management - site register	52
Prosecution/sanction files	62
Public Transport - fares	72
Public transport - timetables and routes	72

<b>Q</b>	<b>Page</b>
Quality and performance management - assessment form	18

<b>R</b>	<b>Page</b>
Rate certificates	49
Rate property files	49
Rateable properties, register of	48
Receipts	44
Recruitment - interview notes	42
Recruitment - interview reports	39
Recruitment - letter of appointment	39
Recruitment - referee reports	39
Recruitment - Unsuccessful applicants	39
Register of births	33
Register of deaths	33
Register of interments	63
Registers, general	16
Reported deaths, register of	34
Residential care children's files	20
Residential Homes - daily logs	26
Residential Homes - diaries	26
Residential Homes - discharge registers	26
Residential Homes - rotas	26
Residential Homes - secure units	26
Residential Homes, register of	26
Right of way	71
Right to Buy - sale documents	47
Risk assessment	58
Road adoption	69
Roundabouts	71

<b>S</b>	<b>Page</b>
Schedule 1 offenders	21
Sensory disability	24
Shrievalty	42
Sites and Monuments records	66
Special education	23
Special Educational Needs files	23
Species records	66
Statutory appointment - prospective staff records	42

## Index

<b>S</b>	<b>Page</b>	<b>U</b>	<b>Page</b>
Statutory appointment - register of applicants	42	Unitary Development plans	65
Statutory appointment -vacancies & applications records	42		
Strategy Plans	14	<b>V</b>	<b>Page</b>
Street files	71	Valuation lists	48
Street load limits	71	Valuation queries	54
Street records	71	Vehicle log book	55
Street signs	71	Vehicles - allocations and authorisations	55
Structure Plan	69	Voting - consolidated returns of votes received	11
Subsidiary assets, register of	50		
Subsidiary ledgers (annual)	44	<b>W &amp; Y</b>	<b>Page</b>
Systems management - implementation plan	54	Waste management - transfer sites	64
		Waste planning application	66
<b>T</b>	<b>Page</b>	Waste site plans	64
Tax Commissioners	42	Wedding banns	33
Taxation	45	Young Persons Being Looked After Files	20
Taxation - group certificates	45	Youth Justice	23
Taxation - motor vehicle logs	45	Youth Service Client files	23
Taxation certificates	45		
Tenancy	27, 32		
Tenancy - transfer of	26		
Tenancy - sealed agreements	32		
Tenancy - signed agreements	32		
Tenders – documents	30, 60, 62, 63		
Tenders – evaluation criteria	30		
Tenders - issuing	29		
Tenders - opening notice	29		
Tenders - quotations	30		
Tenders – specification	29		
Trading standards - sample and inspections records	61		
Traffic calming measures	71		
Traffic orders	70		
Training - awards	41		
Training - certificates	41		
Training - course individual staff assessment	41		
Training - exam results	41		
Training, register of	41		
Transport management - fleet authorisation numbers	55		
Tree planting	71		
Tree preservation orders	67		