

Retention Guidelines for Local Authorities

A Guide produced by the Local Government Group

of

The Records Management Society of Great Britain

2003:1

Introduction by the Keeper of Public Records

Records management is at the heart of the *Modernising Government* agenda. Electronic records management underpins electronic government services. If public authorities cannot undertake the effective management of their records and information - particularly keeping them organised and accessible for as long as they are needed (but no longer) - it will be hard to sustain electronic services in which the public can have trust.

The effective management of records in all formats depends as much on their efficient disposal as on their long-term preservation. Good records disposal policies are essential to good records management. I am, therefore, extremely pleased to see the publication of these guidelines on the retention of records of local authorities. Government as a whole must be consistent in the way it handles and disposes of its information. These guidelines, which have been drawn up from best practice and with the help of experienced practitioners in the profession, will give local authorities a base line from which they can build their own disposal policies. They will assist local records services and archives in meeting local needs while providing a consistent approach to record keeping across Government.

The guidelines are arranged by function and can thus be adapted to the widely varying structure of local authorities. This is extremely important in the context of freedom of information and data protection compliance; the public will expect equality of openness and availability across the government sector, and stakeholders will expect that their interests are being safeguarded. These guidelines are instrumental in achieving these aims, and I heartily endorse their use.

Sarah Tyacke

Keeper of Public Records

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1. Establishment of the Guidelines

1.1.0 Scope of the Guidelines

- 1.1.1 These Retention Guidelines have been issued to support local authorities in the areas of Data Protection, Freedom of Information and the Local Government Act. It has been issued by the Records Management Society of Great Britain after consultation with a number of local government authorities, their agencies and other experts in the field.
- 1.1.2 The Guidelines were developed to reflect an understanding of the administrative processes that give rise to record creation. This is intended to make the Guidelines independent of any particular format of record that might be historically created (e.g. card, register) or media (e.g. paper, electronic) and prolong the Guidelines' period of application.
- 1.1.3 The Guidelines are intended to cover the continuum of records and information from creation through to destruction or for retention for historical or research purposes.
- 1.1.4 Records sentenced for destruction under the Guidelines may be destroyed in accordance with the provisions of the Guidelines. Backup copies stored on alternative media (server/microfilm/paper) should also be destroyed. This is vital to ensure compliance with the requirements of Data Protection and Freedom of Information legislation.
- 1.1.5 The local authority or the agency acting for it should hold notification of the records destroyed in accordance with the Guidelines on its behalf. See Section 9 for how long these should be kept.
- 1.1.6 Records for permanent preservation should be passed to the local authority's Archivist or its agency's place of deposit. In most cases this will be the appropriate local Record Office.

1.2.0 Limitation of Scope

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

1.3.0 Objectives of the Retention Guidelines

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

1.4.0 Transfer of Records to Archival Storage

- 1.4.1 Local authorities wishing to transfer permanent records to archival custody should contact the Archivist/Local History Officer at the appropriate County Record Office/Archive for further information on transfer procedures. The collection policies of individual archives vary; the identification of classes of records here as suitable for archives are for guidance only.
- 1.4.2 The Data Protection Act provides an exemption for information about identifiable living individuals that is held for research, statistical or historical purposes to be held indefinitely, provided specific requirements are met. It is the responsibility of the Archivist to ensure that this is so.
- 1.4.3 Records identified in this schedule as '**permanent**' are marked '**Offer to Archivist**'. The Archivist may choose to select a sample of the records for permanent preservation in the archives; the remainder should be destroyed as specified in the Guidelines. The sample may be random, selective or purposeful.
- 1.4.4 '**Offer to Archivist for review**' is used to indicate record classes where the Archivist will not usually be interested in retaining the class of records, but may wish to retain those concerning high profile or controversial policies/projects.
- 1.4.5 Records no longer required for administrative use may still retain sensitive information. The Archivist should be informed of sensitivity at the time of transfer of the material to the archives, and an appropriate closure period agreed. The closure period should comply with Freedom of Information legislation and the authority's policy.

1.5.0 Enactment of Standard for a Local Authority

- 1.5.1. As there is no legal basis for the enforcement and support of these Guidelines, each local authority needs to ensure that the actions shown in the Guidelines are ratified internally within the local authority or its agency.
- 1.5.2. Ratification can be achieved by obtaining signatures of the Chief Executive and or Internal Audit.

1.5.3. This Retention and Disposal Schedule has been authorised by

Signature of the Chief Executive Officer

..... Date of Issue.

Chief Executive Officer

OR

Signature of the Chief Internal Auditor

..... Date of Issue.

Chief Internal Auditor

1.6.0 Destruction of Records

- 1.6.1 Whenever there is the possibility of litigation, the records and information that are likely to be affected should not be amended or disposed of until the threat of litigation has been removed.
- 1.6.2 When records identified for disposal in the Guidelines are destroyed, a register of such records needs to be kept. For records not covered by the Guidelines contact your record management service, legal department or suitable experienced sources for further advice. It is not sufficient to document that a quantity of records had been destroyed on a certain date. Enough details should be retained to identify which records have been destroyed. <Insert your own contact details>

1.7.0 Standard Operating Procedure (SOP)

- 1.7.1 There are some records that do not need to be kept at all; Standard Operating Procedure defines types of records which staff may routinely destroy in the normal course of business. However, the retention and disposal schedule must still contain reference and instructions referring to them.
- 1.7.2 SOP usually applies to information that is duplicated, unimportant or only of short-term facilitative value. Unimportant records or information include:
 - ‘with compliments’ slips
 - catalogues and trade journals
 - telephone message slips
 - non-acceptance of invitations
 - trivial electronic mail messages or notes that are not related to agency business
 - requests for stock information such as maps, plans or advertising material
 - out-of-date distribution lists
 - working papers which lead to a final report
- 1.7.3 Duplicated and superseded material such as stationery, manuals, drafts, forms, address books and reference copies of annual reports may be destroyed under SOP. Electronic

copies of documents where a hard copy has been printed and filed, and thermal paper facsimiles after making and filing a photocopy, are also covered.

- 1.7.4 SOP should not be applied to records or information that can be used as evidence – to prove that something happened. If you are in doubt about what information is required consult with your legal unit.
- 1.7.5 All of these may be destroyed by standard operating procedure that should be part of any ISO 9000 (Quality Management) system if applicable.

1.8.0 Reviewing the Schedule

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

1.9.0 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.dataprotection.gov.uk>
- *Keith Batchelor (Batchelor Associates)* <http://surf.to/keith.batchelor>

Part 2. Explanation of Retention Guidelines Headings

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

2.1.0 Reference number

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

2.2.0 Function

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

2.3.0 Function Description

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

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

2.4.0 Retention Action

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

2.5.0 Examples of Records

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

2.6.0 Notes

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

2.7.0 Glossary of terms

Administrative Use. When business use has been ended or the file has been closed.

Closure. ' Destroy 'x' years from closure '. A record/file is closed when it ceases to be active. After closure, no new papers/information should be added to the record. Triggers for closure of

a file include: reaching an unmanageable size; covering a period of 'x' years or more; no records added for 'x' period of time; no action taken after 'x' period of time.

Closure period. Specified period of time during which the record is subject to restrictions on provision of access to staff and/or the public may be dictated by statutory requirements or by the authority's policy. Any closure period should comply with current legislation on access to local government information - including the Data Protection and Freedom of Information Acts.

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

Last action. ' Destroy 'x' years after last action '. Date of most recent amendment / addition / deletion of information.

Permanent. Records which must be kept indefinitely [or for approximately 100 years] for legal and/or administrative purposes, and/or are of enduring value for historical research purposes and so suitable for transfer to the authority's archive or place of deposit.

Place of deposit. Usually the local authority's Record Office.

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Democratic Processes

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------------------------------------|---|--|--|-----------------|
| Elections | | | | |
| Preparation | | | | |
| 1.1 | Summary certification of those eligible to vote | Permanent. Offer to Archivist after administrative use is concluded | <ul style="list-style-type: none"> Electoral Register | Common practice |
| 1.2 | Voting (Local elections only) | Destroy 6 months from close of poll | <ul style="list-style-type: none"> Ballot papers | Statutory |
| Results | | | | |
| 1.3 | Declaration of results (local elections only) | Destroy 6 months from date of election | <ul style="list-style-type: none"> Consolidated returns of votes received | Statutory |
| Council and Committee Meetings | | | | |
| 1.4 | The process of preparing business for Council consideration and making the record of discussion, debate and resolutions | Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded | <ul style="list-style-type: none"> Council minutes Council agenda and business papers Council notice papers and proceedings Indexes Committee minutes Registers of delegations to Special Committees | Common practice |

Democratic Processes

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|--|---|---|---|-----------------|
| 1.5 | Minute taking | Destroy after date of confirmation of the minutes | <ul style="list-style-type: none"> • Draft/rough minutes • Audio tapes | Common practice |
| Partnership, Agency and External Meetings | | | | |
| 1.6 | The process of preparing business for partnership and agencies consideration and making the record of discussion, debate and resolutions, where the local authority legally owns the record. | Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded | <ul style="list-style-type: none"> • Documents establishing the committee • Agendas • Minutes • Council reports • Recommendations • Supporting documents such as Council briefing and discussion papers | Common practice |
| 1.7 | The process of preparing business for external committees' consideration, and making the record of discussion, debate and resolutions, where the local authority does not own the record. | Destroy 3 years after last action | <ul style="list-style-type: none"> • Documents establishing the committee • Reports • Recommendations • Supporting documents such as briefing and discussion papers. | Common practice |

Democratic Processes

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

Management and Administration

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|---|--|---|---|-----------------|
| CORPORATE PLANNING AND REPORTING | | | | |
| 2.1 | The corporate planning and reporting activities of local authorities | Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded | <ul style="list-style-type: none"> • Corporate Plans • Strategy Plans • Business Plans • Annual Reports | Common practice |
| 2.2 | The process of preparing business for strategic consideration and making the record of discussion, debate and resolutions | Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded | <ul style="list-style-type: none"> • Strategic management team minutes | Common practice |
| 2.3 | The process of preparing business for cross departmental consideration and making the record of discussion, debate and resolutions | Destroy 3 years from closure | | Common practice |
| 2.4 | The process of preparing business for Unit/Team consideration and making the record of discussion, debate and resolutions | Destroy 3 years from closure | | Common practice |

Management and Administration

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|----------|---|---|---|-----------------|
| 2.5 | <p>Statutory returns</p> <p>The process of preparing information to be passed on to central government as part of statutory requirements</p> | Destroy 7 years from closure | <ul style="list-style-type: none"> • Reports to central government | Common practice |
| 2.6 | <p>Policy, Procedures, Strategy and Structure</p> <p>Activities that develop policies, procedures, strategies and structures for the local authorities</p> | <p>Permanent. Offer to Archivist.</p> <p>Transfer to place of deposit after administrative use is concluded.</p> | <ul style="list-style-type: none"> • Policy, procedure, precedent, instructions • Organisation charts • Records relating to policy implementation and development • Education plan • Asset management plan • Children' s services plan • Community strategy • Community plan • Community safety plan | Common practice |
| 2.7 | <p>The process of monitoring and reviewing strategic plans, policies or procedure to assess their compliance with guidelines</p> | Destroy 5 years from closure | | Common practice |

Management and Administration

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|-------------------------------|---|--|---|---|
| Public Consultation | | | | |
| 2.8 | The process of consulting the public and staff in the development of significant policies of the local authority | Destroy 5 years from closure | | Common practice |
| 2.9 | The process of consulting the public and staff in the development of minor policies of the local authority | Destroy 1 year from closure | | Common practice |
| Information Management | | | | |
| 2.10 | The activity whereby standards, authorities, restraints and verifications are introduced and maintained to manage information effectively | Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded | <ul style="list-style-type: none"> • Classification schemes • Registers • Indexes • Authorised lists of file headings | Common practice |
| 2.11 | The management of collections of records transferred to the archives | Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded | <ul style="list-style-type: none"> • Accession registers • Depositor files | Common practice |
| 2.12 | The process that records the disposal of records | Destroy 12 years after last action | <ul style="list-style-type: none"> • Disposal certificates | Common practice based on Limitation Act |

Management and Administration

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|----------|---|---|---|-----------------|
| | Enquiries and Complaints | | | |
| 2.13 | The management in summary form of enquiries and complaints directed to council | Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded. | <ul style="list-style-type: none"> • Indexes • Registers | Common practice |
| 2.14 | The management of enquiries, submissions and complaints which result in significant changes to policy or procedures | Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded | <ul style="list-style-type: none"> • Reports • Returns • Correspondence | Common practice |
| 2.15 | The management of detailed responses on council actions, policy or procedures | Destroy 6 years after administrative use is concluded | <ul style="list-style-type: none"> • Reports • Returns • Correspondence • Ombudsman | Common practice |
| 2.16 | The management of routine responses on council actions, policy or procedures | Destroy 2 years after administrative use is concluded | <ul style="list-style-type: none"> • Printed material • Form letters | Common practice |

Management and Administration

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|----------|---|--|---|-----------------|
| | Quality and performance management | | | |
| 2.17 | The process of monitoring or reviewing the quality, efficiency, or performance of a local authority service or unit | Destroy 5 years from closure | <ul style="list-style-type: none"> • Best Value Review | Common practice |
| 2.18 | The process of assessing the quality, efficiency, or performance of a local authority service or unit | Destroy 2 years from closure | <ul style="list-style-type: none"> • Assessment form | Common practice |
| | Public relations | | | |
| | Publications | | | |
| 2.19 | The process of designing setting information for publication | Destroy 3 years from last action | | Common practice |
| 2.20 | The published work of the local authority | Destroy after administrative use is concluded Note: One copy from the initial print run should go directly to the archive. | | Common practice |

Management and Administration

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|-------------------------------|---|--|---|-----------------|
| Media Relations | | | | |
| 2.21 | Process of interaction with the media | Destroy 3 years from closure | | Common practice |
| 2.22 | Media publications concerning local authorities | Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded | <ul style="list-style-type: none"> • Press cuttings • Media reports | Common practice |
| Marketing | | | | |
| 2.23 | The process of developing and promotion of local authorities campaigns and events | Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded | | Common practice |
| Civic and Royal Events | | | | |
| 2.24 | The recording of ceremonial events and civic occasions | Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded | <ul style="list-style-type: none"> • Visitors' book • Audio tapes • Video tapes • Photographs | Common practice |
| 2.25 | The process of organising a ceremonial event or civic occasions | Destroy 7 years after administrative use is concluded | | Common practice |

Management and Administration

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Client Services

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|--------------------------------|---|---|---|--|
| Case Management | | | | |
| "Looked after" children | | | | |
| 3.1 | Systems, which manage children, looked after by the local authority, in summary form | Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded | <ul style="list-style-type: none"> • Children's home register | Common practice Closed for 50 years |
| 3.2 | Process involving individual case management of children looked after by the local authority This includes children and young people: <ol style="list-style-type: none"> 1. Adopted via the local authority 2. In children's home 3. Fostered by local authority 4. On custodianship orders 5. On residence orders | Destroy 75 years from 18th Birthday | <ul style="list-style-type: none"> • Young persons being looked after files • Looked after children client files • Residential care children's file • Adoption files • Privately fostered children's file • Guardian CAFCASS files • Guardian ad litem | Common practice, Statutory basis |
| 3.3 | Children and young people subject to supervision orders | Destroy 21 years from DOB | | |

Client Services

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|-------------------------|---|---|--|-------------------------------------|
| 3.4 | Process involved in checking the suitability of people to become adoptive parents or foster carers | Destroy 25 years from closure | <ul style="list-style-type: none"> • Adoptive parent counselling files • Approved adopters | Common practice |
| 3.5 | Process involving individual case management of families or adults who have fostered children in their care Note: Foster care financial files see Financial management | 35 years after carer has ceased to foster | <ul style="list-style-type: none"> • Foster carer files • Supported lodging files | Common practice |
| Child Protection | | | | |
| 3.6 | Process involving summary case management of children under the protection of local authority. | Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded | <ul style="list-style-type: none"> • Child Protection Register | Common practice closed for 70 years |
| 3.7 | Process involving summary case management of adults convicted of Schedule 1 offences | Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded | <ul style="list-style-type: none"> • Schedule 1 offenders | Common practice closed for 70 years |

Client Services

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|----------|---|--------------------------------------|--|-----------------|
| 3.8 | <p>Process involving individual case assessment, investigation, registration, and management of children involved in child protection:</p> <p>a) investigated, conferenced and registered</p> <p>b) core assessment</p> <p>c) investigated but not conferenced and registered</p> | Destroy 35 years from closure | <ul style="list-style-type: none"> • Child protection case files which have <ul style="list-style-type: none"> a) Conference minutes b) Core assessment c) Investigation d) Registration | Common practice |
| 3.9 | <p>Process involving individual cases involving initial assessment and provision of advice in regards child protection</p> <p>Case management - Children's Services – General</p> | Destroy 5 years from closure | <ul style="list-style-type: none"> • Child protection files <ul style="list-style-type: none"> a) Initial assessment b) Advice only | Common practice |
| 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 10 years from closure | | Common practice |

Client Services

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|----------------------------------|---|--|--|-----------------|
| 3.11 | Process involving individual case management of services or support to unaccompanied minors (eg Asylum Seekers) if not "looked after" | Destroy 10 years from closure | | Common practice |
| 3.12 | Process involving individual case management of services or support to youth. | Destroy 25 years from DOB. Or destroy 10 years from last contact | <ul style="list-style-type: none"> Youth Service client files Youth Justice | Common practice |
| Special Educational Needs | | | | |
| 3.13 | Process involving in assessing and providing individual support for children who have need of special education support | Destroy 35 years from closure | <ul style="list-style-type: none"> SEN files | Common practice |
| Family Support | | | | |
| 3.14 | Process involving individual case management in the provision of support by the local authority to families | 7 years file closure | <ul style="list-style-type: none"> Parenting skills Special education Attendance records Project files | Common practice |
| 3.15 | Process involved in assessing a family's suitability in the care of children | 25 years from DOB of youngest child | | Common practice |

Client Services

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|----------|--|---|--|-----------------|
| | Adult and Elderly Case Files | | | |
| 3.16 | Process involving summary case management of services or support to adults | Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded | | Common practice |
| 3.17 | Process involving in assessing and providing individual support for people with mental illness | Destroy 10 years after last contact | <ul style="list-style-type: none"> • Mental Health files | Common practice |
| 3.18 | Process involving in assessing and providing individual support or services for all other people | Destroy 6 years after last contact | <ul style="list-style-type: none"> • Day service provision • Learning disability • Physical disabilities • Sensory disability • Rehabilitation and discharge • Communication support • Drug and alcohol misuse • Occupational therapy • Home care | Common practice |

Client Services

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|----------|---|--|--|-----------------|
| | Admissions and Exclusions | | | |
| 3.19 | Case Files (including appeals) | Destroy 25 years from last action | <ul style="list-style-type: none"> • Appeal files • Exclusion files | Common practice |
| | Programme Management and Development | | | |
| 3.20 | Process involved in development of services or programmes for children | 7 years from closure | | Common practice |
| 3.21 | Process involved in provision of services or programmes to support the development of children | 25 years from closure | <ul style="list-style-type: none"> • Attendance records • Course reports | Common practice |
| 3.22 | Process involved in provision of a services or programmes to support the development of young persons | 15 years from closure | | Common practice |
| 3.23 | Process involved in provision of services or programmes to adults | 7 years from closure | | Common practice |

Client Services

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|--|--|---|---|-----------------|
| Residential Homes | | | | |
| 3.24 | Summary management systems that manage children/adults housed by the local authority | Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded | <ul style="list-style-type: none"> • Children's/adults home Registers • Admissions registers • Discharge registers | Common practice |
| 3.25 | Documents relating to the operation of the establishment | 25 years from closure of file | <ul style="list-style-type: none"> • Diaries • Rotas • Daily logs • Secure unit records | Common practice |
| Housing Provision | | | | |
| The process of the allocation and management of welfare housing by the local authority and the associated issues of homelessness | | | | |
| 3.26 | The registration of individuals housing applications | Permanent. Offer to Archivist. | <ul style="list-style-type: none"> • Council housing register | Common practice |

Client Services

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|----------|--|--|---|--|
| 3.27 | The process for applying for council housing (Unsuccessful applications only, successful applications will generally be placed on the tenancy file) | Destroy 7 years after closure | <ul style="list-style-type: none"> • Council housing Application forms and supporting material • Application for transfer of tenancy and supporting papers | Common practice |
| 3.28 | The process for managing the tenancy of an individual tenant | Destroy 12 years after termination of tenancy | <ul style="list-style-type: none"> • Correspondence re tenancy • Tenancy files • Council housing Application forms and supporting material • Application for transfer of tenancy and supporting papers • Application for emergency housing or referral from another agency | Common practice These may need to be kept for a longer period of time in order to prove that the tenant was actually housed properly by the authority |

Legal and Contracts

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|---|---|--|--|--|
| Litigation | | | | |
| 4.1 | The process of managing, undertaking or defending for or against litigation on behalf of the local authority | Destroy 7 years after last action. Major litigation – offer to Archivist for review | <ul style="list-style-type: none"> • Criminal case file • Childcare case file • Civil case file • correspondence | Common practice |
| Advice | | | | |
| 4.2 | The process of providing legal advice on a point of law. | Destroy 3 years after last action – unless a major precedent, then offer to Archivist for review | | Common practice |
| Agreements | | | | |
| 4.3 | Process of agreeing terms between organisations Note : this does not include contractual agreements | Destroy 6 years after agreement expires or is terminated | <ul style="list-style-type: none"> • Concordat | Common practice Depends on value of agreement Mainly to do with agreements between public bodies, not in regard to contracts |
| Conveyance (see also Property Acquisition and Disposal) | | | | |
| 4.4 | The process of changing ownership of land or property | Destroy 12 years after closure | <ul style="list-style-type: none"> • Conveyancing files | Statutory |

Legal and Contracts

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|----------|---|---|---|-----------------|
| | Contracts and Tendering | | | |
| | Pre Contract Advice | | | |
| 4.5 | The process of calling for expressions of interest | Destroy 2 years after contract let or not proceeded with | <ul style="list-style-type: none"> Expressions of Interest | Common practice |
| | Specification and Contract Development | | | |
| 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"> Tender specification Note: For project files containing drafts leading to a final version these records can be destroyed. | Statutory |
| | Tender Issuing and Return | | | |
| 4.7 | The process involved in the issuing and return of a tender | Destroy 1 year after start of contract | <ul style="list-style-type: none"> Opening notice Tender envelope | Common practice |

Legal and Contracts

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|----------|-------------------------------|---|--|-----------------|
| | Evaluation of Tender | | | |
| 4.8 | | <ul style="list-style-type: none"> • <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"> • Evaluation criteria | Statutory |
| 4.9 | Successful tender document | <ul style="list-style-type: none"> • <u>Ordinary Contracts</u> Destroy 6 years after the terms of contract have expired • <u>Contracts Under Seal</u> Destroy 12 years after the terms of contract have expired | <ul style="list-style-type: none"> • Tender documents • Quotations | Statutory |
| 4.10 | Unsuccessful tender documents | Destroy 1 year after start of contract | <ul style="list-style-type: none"> • Tender documents • Quotations | Common practice |

Legal and Contracts

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|----------|---|---|---|-----------------|
| | Post Tender Negotiation | | | |
| 4.11 | The process in negotiation of a contract after a preferred tender is selected | Destroy 1 year after the terms of contract have expired | <ul style="list-style-type: none"> • Clarification of contract • Post tender negotiation minutes | Common practice |
| | Awarding of contract | | | |
| 4.12 | The process awarding of contract | <ul style="list-style-type: none"> • <u>Ordinary Contracts</u> Destroy 6 years after the terms of contract have expired • <u>Contracts Under Seal</u> Destroy 12 years after the terms of contract have expired | <ul style="list-style-type: none"> • Signed contract | Statutory |
| | Contract Management | | | |
| 4.13 | Contract operation and monitoring | Destroy 2 years after the terms of contract have expired | <ul style="list-style-type: none"> • Service Level Agreements • Compliance reports • Performance reports | Common practice |

Legal and Contracts

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|---------------------------|--|--|--|-----------|
| 4.14 | Management and amendment of contract | <p>(a) <u>Ordinary Contracts</u> Destroy 6 years after the terms of contract have expired</p> <p>(b) <u>Contracts Under Seal</u> Destroy 12 years after the terms of contract have expired</p> | <ul style="list-style-type: none"> • Minutes and papers of meetings • Changes to requirements • Variation forms • Extension of contract • Complaints • Disputes on payment | Statutory |
| Tenancy Agreements | | | | |
| 4.15 | The process of awarding tenancies in welfare housing | <p>a) <u>Ordinary Tenancy</u> Destroy 6 years after the terms of agreement have expired</p> <p>b) <u>Tenancy Under Seal</u> Destroy 12 years after the terms of agreement have expired</p> | <ul style="list-style-type: none"> • Signed tenancy agreements • Sealed tenancy agreements | Statutory |

Statutory Services

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|----------|--|---|--|-----------------------------|
| | Registrars of Births Deaths And Marriages | | | |
| | Registration | | | |
| 5.1 | Process of the summary registration of a birth, death or marriage | Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded | <ul style="list-style-type: none"> • Deaths register • Births register • Marriage register | Common practice |
| 5.2 | Process of certification of the registration of a birth, death or marriage | Destroy 7 years after last action | <ul style="list-style-type: none"> • Birth certificate • Death certificate • Marriage certificate | Common practice |
| | Marriage Services | | | |
| 5.3 | Process of conducting a marriage service | Destroy 3 years after last action | | Common practice |
| | Notices | | | |
| 5.4 | Process of notification in relation to birth, death or marriage | Destroy 2 years after last action | <ul style="list-style-type: none"> • Wedding banns • Notice of marriage | Common practice |
| | Coroners | | | |
| 5.5 | Summary registration of reported deaths | Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded | <ul style="list-style-type: none"> • Reported deaths register | Set by Public Record Office |

Statutory Services

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|----------|--|---|--|---|
| | <p>Coroner's case work For further information please refer to Home Office website www.homeoffice.gov.uk/circulars/1999/hoc9959.htm</p> | | | |
| 5.6 | The process and actions of inquiring into deaths which do not proceed to an inquest. | Destroy 15 years after last action | <ul style="list-style-type: none"> Coroner's case files | Set by Public Record Office |
| 5.7 | The process and actions of inquiring into deaths which proceed to an inquest | <p>Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded</p> | <ul style="list-style-type: none"> Coroner's case files | Set by Public Record Office Can be sampled according to <ul style="list-style-type: none"> set a precedent in law or practice; Relate to an individual, accident or crime subject to prolonged or repeated interest from the national media. |
| | <p>Treasure Trove</p> | | | |
| 5.8 | The process and actions of Treasure inquests | Destroy 2 years after last action | | Set by Public Record Office |

Statutory Services

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|-----------------|---|-------------------------|----------------------------|--------------|
| 5.9 | Magistrates Refer to Lord Chancellor's publications (see Appendix. A) | | | |

Human Resources

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|----------|--|---|---|-----------------|
| 6.1 | <p>Personnel administration</p> <p>Summary management systems that allow the monitoring & 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 & dates held</p> | <p>Permanent. Offer to Archivist for review.</p> <p>Transfer to place of deposit after administrative use is concluded</p> | <ul style="list-style-type: none"> • Employment Register – Permanent Staff • Employment Register – Temporary Staff • Employment Register – Casual Staff • Registers of personnel files • Personal History cards • Superannuation history card • Salary master record | Common practice |

Human Resources

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|----------|---|---|--|-----------------|
| 6.2 | <p>The process of administering employees to ensure that entitlements & obligations are in accordance with agreed employment requirements</p> <ul style="list-style-type: none"> Records containing superannuation information | Destroy 6 years from date of last pension payment | <ul style="list-style-type: none"> Medical clearance Letter of appointment Letter of acceptance Details of assigned duties Probation reports Medical examinations Personal particulars Educational qualifications Declarations of pecuniary interests Secrecy undertakings Employment contracts | Common practice |
| 6.3 | Records relating to staff working with children | Termination + 25 years | | |
| 6.4 | All other records | Termination + 6 years | | |

Human Resources

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|----------|--|--|--|---|
| | Employee and Industrial Relations | | | |
| 6.5 | Identification & development of significant directions concerning industrial matters | Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded | <ul style="list-style-type: none"> • Generic agreements and awards • Negotiations • Disputes • Claims lodged | Common practice |
| 6.6 | Liaison processes of minor and routine industrial matters | Destroy 2 years after administrative use is concluded | <ul style="list-style-type: none"> • Daily industrial relations management | Common practice |
| 6.7 | Processing of disciplinary and grievances investigations where proved | Oral Warning – 6 months Written Warning - 1 year Final Warning - 18 months The above warnings to be removed & destroyed after the relevant time has 'spent'. Warnings Involving Children – Placed on personal file permanently | <ul style="list-style-type: none"> • Disciplinary | For all practical purposes this function would not be subject to records management, except for Warnings Involving Children, which remain on the personal file permanently for reference purposes. (See 29.1.3 & 29.1.4) |
| 6.8 | Processing of disciplinary and grievances investigations where unfounded | Destroy immediately after the grievance has been found to be have been unfounded; or after appeal | <ul style="list-style-type: none"> • Disciplinary | Common practice |

Human Resources

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|----------|--|---|--|-----------------|
| 6.9 | Equal Employment Opportunities The process of investigation and reporting on specific cases to ensure that entitlements & obligations are in accordance with agreed Equal Employment Opportunities guidelines policies | Destroy 5 years after action completed | | Common practice |
| 6.10 | Occupational Health The process of checking and ensuring the health of staff | Destroy 75 years after DOB | <ul style="list-style-type: none">• Health questionnaire• Medical clearance• Adjustment to work place• Restrictions• Recommendations | Common practice |

Human Resources

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|-------------------------|--|--|---|-----------------|
| Recruitment | | | | |
| 6.11 | The selection of an individual for an established position | Destroy 1 year after recruitment has been finalised (For letter of appointment for successful candidate use employment conditions) | <ul style="list-style-type: none"> • Advertisements • Applications • Referee reports • Interview reports • Unsuccessful applicants | Common practice |
| Staff Monitoring | | | | |
| 6.12 | Performance | Destroy 5 years after action completed | <ul style="list-style-type: none"> • Probation reports • Performance plans | Common practice |
| 6.13 | Process of monitoring staff leave and attendance | Destroy 2 years after action completed | <ul style="list-style-type: none"> • Sick leave • Jury service • Study leave • Special and personal leave • Attendance books • Flexitime sheets • Leave applications • Clock on/off cards • Annual leave | Common practice |

Staff Retention

Human Resources

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|---------------------------------|--|---|---|---|
| 6.14 | Financial reward | Destroy 7 years after action completed | | Common practice All records relating to actual payments are dealt with under finance |
| 6.15 | Other strategy | Destroy 3 years after action completed | | Common practice |
| Termination | | | | |
| 6.16 | The process of termination of staff through voluntary redundancy, dismissal and retirement | Destroy 6 years after termination If a pension is paid then records should be destroyed 6 years after last payment of pension | <ul style="list-style-type: none"> • Resignation • Redundancy (Section 188) • Dismissal • Death • Retirement | Common practice |
| Training and Development | | | | |
| 6.17 | Routine staff training processes, not occupational health and safety or children related | Destroy 2 years after action completed | <ul style="list-style-type: none"> • Course individual staff assessment | Common practice |
| 6.18 | Training (concerning children) | Destroy 35 years after training completed, or last entry | <ul style="list-style-type: none"> • Course individual staff assessment • training register | Common practice |

Human Resources

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|----------|--|---|--|-----------------|
| 6.19 | Training (occupational health and safety training) | Destroy 50 years after training completed | <ul style="list-style-type: none"> OH&S training register | Common practice |
| | | Individual course assessment records should be destroyed once the training has been renewed every 3 years | | |
| 6.20 | Training (materials) | Destroy 1 year after course is superseded | | Common practice |
| 6.21 | Training (proof of completion) | Destroy 7 years after action completed | <ul style="list-style-type: none"> Certificates Awards Exam results | Common practice |
| | Appointments of Statutory Officers | | | |
| 6.22 | Summary management systems that allow the monitoring & management of statutory officers in summary form | Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded | <ul style="list-style-type: none"> Magistrates register | Common practice |
| 6.23 | The process of administering employees to ensure that entitlements & obligations are in accordance with agreed employment requirements | Destroy 6 years after departure from employment | | Common practice |

Human Resources

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|----------|---|---|--|-----------------|
| 6.24 | The appointment of an individual for a statutory position | Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded | <ul style="list-style-type: none"> • Appointment Files 1. Shrievalty 2. Magistrates 3. Lord Lieutenant 4. Tax commissioners | Common practice |
| 6.25 | The process of selection of an individual for an statutory position | Destroy 2 years after date of appointment | <ul style="list-style-type: none"> • Vacancies & applications records • Interview notes • Prospective staff records • Registers of applicants • Unsuccessful applications records | Common practice |

Financial Management

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|-----------------------------|---|---|---|-----------------|
| Accounts & Audit | | | | |
| Reporting | | | | |
| 7.1 | The process that consolidates financial transactions on an annual basis for corporate reporting purposes | Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded | <ul style="list-style-type: none"> • Consolidated annual reports • Consolidated financial statements • Statement of financial position • Operating statements • General ledger | Common practice |
| 7.2 | The process that supports and consolidates financial transactions on a periodic (less than annual) basis, superseding those from the previous period. Does not include journals and subsidiary ledgers and cash books | Destroy when administrative use is concluded | <ul style="list-style-type: none"> • Consolidated monthly & quarterly reports • Consolidated monthly & quarterly financial statements • Working papers for the preparation of the above • Monthly accrual statements • Cashflow statements • Creditor listings and reports • Debtor listings and reports | Common practice |

Financial Management

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|----------|---|---|---|--|
| | Financial Transactions Management | | | |
| 7.3 | Management of the approvals process for purchase, including investigations | Destroy 7 years after the end of the financial year in which the records were created | <ul style="list-style-type: none"> • Appointments & delegations • Audit investigations • Arrangements for the provision of goods and/or services | Statutory |
| 7.4 | Identification of the receipt, expenditure and write offs of public monies | Destroy 6 years after the conclusion of the financial transaction that the record supports | <ul style="list-style-type: none"> • Allowances • Work orders • Invoices • Credit card statements • Cash books • Receipts • Cheque counterfoils • Bank statements • Subsidiary ledgers (annual) • Journals (annual) • Vouchers | Statutory This period may be reduced with the agreement of Customs and Excise and/or the Inland Revenue |
| 7.5 | Process involving the provision and support for individuals using public transportation | Destroy 6 years after the conclusion of the financial transaction that the record supports | <ul style="list-style-type: none"> • Applications • Card issue • Rail warrants | Statutory |

Financial Management

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|----------|--|---|--|-----------------|
| 7.6 | Processes that balance & reconcile financial accounts | Destroy 2 years after administrative use is concluded | <ul style="list-style-type: none"> • Reconciliation • Summaries of accounts | Common practice |
| 7.7 | Taxation Records | Destroy 5 years after the end of the financial year in which the records were created | <ul style="list-style-type: none"> • Taxation records • Motor vehicle logs • Fringe benefits tax records • Group certificates | Statutory |
| 7.8 | Processes involved in the collection of National Insurance Number | Destroy 2 years after the employee ceases employment | <ul style="list-style-type: none"> • Notification & input records | Common practice |
| 7.9 | <p>Payroll</p> <p>Accountable processes relating to payment of employees</p> | Destroy 7 years after the conclusion of the financial transaction that the record supports | <ul style="list-style-type: none"> • Authority sheets • Payroll deduction authorities • Payroll disbursement • Employee pay records • Employee taxation records | Statutory |

Financial Management

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|------------------------------|---|---|--|---|
| 7.10 | Non-accountable processes relating to payment of employees | Destroy after administrative use is concluded | <ul style="list-style-type: none">• Summary employee pay reports | Common practice |
| Financial Provisions | | | | |
| Budgets And Estimates | | | | |
| 7.11 | The process of finalising local authorities' annual budget | Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded | <ul style="list-style-type: none">• Annual budget | Common practice Only the final version of the annual budget needs to be kept |
| 7.12 | The process of developing local authorities' annual budget | Destroy 2 years after annual budget adopted by local authorities | <ul style="list-style-type: none">• Draft budgets• Departmental budgets• Draft estimates | Common practice |

Financial Management

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|----------------|--|---|--|-----------------|
| 7.13 | The process of reporting which examines the budget in relation to actual revenue and expenditure | Destroy after next year's annual budget has been adopted by Local Authorities | <ul style="list-style-type: none"> Quarterly statements | Common practice |
| Loans | | | | |
| 7.14 | The activity of borrowing money to enable a local authority to perform its functions and exercise its powers | Destroy 7 years after the loan has been repaid | <ul style="list-style-type: none"> Loan files | Statutory |
| 7.15 | Summary management of loans | Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded | <ul style="list-style-type: none"> Loans registers | Common practice |
| Housing | | | | |
| | The process of offering financial help with welfare housing provision and maintenance | | | |

Financial Management

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|----------|-------------------------|---|---|-----------------|
| 7.16 | Mortgages | Last payment + 6 years if signed Last payment +12 years if sealed | <ul style="list-style-type: none"> • Mortgage agreements • Correspondence | Statutory |
| 7.17 | “Right to Buy” | Destroy 12 years after sale of house | <ul style="list-style-type: none"> • Sale documents • Agreement concerning sale | Common practice |
| 7.18 | Rent Payments | Destroy 7 years after the end of the financial year in which created | <ul style="list-style-type: none"> • Rent books • Correspondence concerning payment • Requests for payment | Statutory |
| 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 offer to Archivist. | <ul style="list-style-type: none"> • Agreement to pay loan • Details of payments • Correspondence relating to loan | Statutory |

Financial Management

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|----------|--|---|--|-----------------|
| | Council Tax Valuation | | | |
| 7.20 | The valuation of rateable land within a municipal district for the purpose of the making of the rate | Valuation lists - Permanent. Offer to Archivist for review Destroy 10 years after the year in which the valuation was made | <ul style="list-style-type: none"> ● Valuation lists ● Correspondence ● Objections ● Reports | Common practice |
| | Property History | | | |
| 7.21 | The recording of information for rateable properties identifying the person or company rated, including details of the value of the property. Note: Records containing accounting information primarily, and not being a source of property history, should be disposed of according to the appropriate record class within the Accounts & Audit function. | Permanent. Offer to Archivist for review. Transfer to Place of Deposit after administrative use is concluded | <ul style="list-style-type: none"> ● Rate Books ● Rate Cards ● Register of Rateable Properties | Common practice |

Financial Management

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|----------|---|---|---|-----------------|
| | Rates and Local Authorities Tax Correspondence | | | |
| 7.22 | The activity of corresponding with ratepayers in relation to valuations, rates and charges, objections, submissions, appeals, rate remissions and other rates related matters | Destroy 7 years after last action | <ul style="list-style-type: none"> ● Notices ● Objections ● Applications ● Correspondence ● Rate certificates ● Notices of acquisition and disposition ● Rate property files | Common practice |
| | Summary Assets Management | | | |
| 7.23 | See Property Management for real property assets. See Transport Management for vehicle assets. | | | |
| 7.24 | Summary management reporting on the overall assets of the local authorities | Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded | <ul style="list-style-type: none"> ● Schedules of acquisitions ● Consolidated current asset reports ● Annual reports ● Summary of current assets ● Asset registers | Common practice |

Financial Management

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|----------|---|---|---|-----------------|
| | Asset Monitoring and Maintenance | | | |
| 7.25 | Management systems that allow the monitoring & management of assets in summary form | Destroy 7 years after the conclusion of the financial transaction that the record supports | <ul style="list-style-type: none"> • Subsidiary asset registers | Common practice |
| 7.26 | Process of reporting and reviewing assets status | Destroy 2 years after administrative use is concluded | <ul style="list-style-type: none"> • Routine returns and reports on asset status • Inventories • Stocktaking • Surveys of usage • Acquisition and disposal reports & proposals | Common practice |
| 7.27 | The process of maintaining assets | Destroy 7 years after last action | <ul style="list-style-type: none"> • Garden maintenance • Cleaning • Painting | Common practice |
| 7.28 | The process of maintaining plant and equipment | Destroy 7 years after sale or disposal of asset | <ul style="list-style-type: none"> • Service records • Plant files | Common practice |

Financial Management

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|----------|---|--|--|-----------|
| | Asset Acquisition and Disposal | | | |
| 7.29 | Management of the acquisition (by financial lease or purchase) and disposal (by sale or write off) process for assets | Destroy 6 years, if under £50 000 or 12 years if over £50 000, after all obligations/entitlements are concluded | <ul style="list-style-type: none">• Legal documents relating to the purchase/sale• Particulars of sale documents• Board of survey• Leases• Applications for leases, licences & rental revision• Tender documents• Conditions of contracts• Certificates of approval | Statutory |

Property and Land Management

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|----------|---|---|--|-----------------|
| | Property and Land Management | | | |
| 8.1 | Reports to management on overall property of the local authority | Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded | <ul style="list-style-type: none"> • Consolidated property & buildings annual reports • Summary of leased property • Summary of local authority's owned property • Site register • Register of leases | Common practice |
| | Property Acquisition and Disposal | | | |
| 8.2 | [see also Conveyance] Management of the acquisition (by financial lease or purchase) process for real property (see also 21.1.0) | Retain for life of property or building plus 12 years. Offer material re major/significant properties to Archivist for review | <ul style="list-style-type: none"> • Plans | Common practice |

Property and Land Management

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|----------|--|---|---|---|
| 8.3 | Management of the disposal (by sale or write off) process for real property | Destroy 15 years after all obligations/entitlements are concluded. Offer material re major/significant properties to Archivist for review | <ul style="list-style-type: none"> • Legal documents relating to the sale • Particulars of sale documents • Board of Survey • Tender documents • Conditions of contracts | Common practice |
| | Property Development and Renovation | | | |
| 8.4 | The process of managing and undertaking renovations and development of property | | | |
| 8.5 | Management <ul style="list-style-type: none"> • buildings and estates of “special interest” | Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded | <ul style="list-style-type: none"> • Project specifications • Plans • Installation manuals • Certificates of approval | Common practice |
| 8.6 | Management <ul style="list-style-type: none"> • all other buildings and estates | Retain for life of property or building | <ul style="list-style-type: none"> • Project specifications • Plans • Installation manuals • Certificates of approval | Common practice For asbestos see health and safety under General Public Services |

Property and Land Management

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|------------------------------|---|---|--|-----------------|
| 8.7 | The action process involved in the development and renovation of property | Destroy 7 years after the conclusion of the transaction that the record supports | <ul style="list-style-type: none"> • Work orders • Tender documents • Conditions of contracts | Common practice |
| Leasing And Occupancy | | | | |
| 8.8 | The process of managing leased property | Destroy 15 years after the expiry of the lease | <ul style="list-style-type: none"> • Lease agreements • Rental expenditure authorities • Valuation queries • Applications for leases, licences & rental revision | Common practice |
| 8.9 | The process of managing the occupancy of property | Destroy 7 years after the conclusion of the transaction that the record supports | <ul style="list-style-type: none"> • Requests for works, cleaning, etc. | Common practice |
| Housing Provision | | | | |
| 8.10 | The process of managing local authority welfare housing estates | Destroy 4 years after last action | <ul style="list-style-type: none"> • Stock monitoring records | Common practice |

Property and Land Management

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|-----------------------------|--|--|---|-------|
| Systems Management | | | | |
| 8.11 | The internal process to develop or extend the capabilities of a system used to support the activities of the local authority | Retain for life of system then destroy | | |
| 8.12 | The process to implement a system used to support the activities of the local authority | Destroy 7 years after last action | <ul style="list-style-type: none">• Implementation plan | |
| 8.13 | The process to support and administer a system used to support the activities of the local authority | Destroy 5 years after last action | | |
| Transport Management | | | | |
| 8.14 | The process of acquisition and disposal of vehicles through lease or purchase | Destroy 7 years after the disposal of the vehicle | <ul style="list-style-type: none">• Leases• Contracts• Quotes• Approvals• Fleet authorisation numbers | |

Property and Land Management

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|--------------------------|---|--|--|-------|
| 8.15 | The process of managing allocation & maintenance of vehicles | Destroy 7 years after the sale or disposal of the vehicle | <ul style="list-style-type: none"> • Approvals as drivers • Allocations & authorisations for vehicles • Maintenance | |
| 8.16 | The process of recording vehicle usage | Destroy 3 years after the sale or disposal of the vehicle | <ul style="list-style-type: none"> • Vehicle usage reports | |
| 8.17 | The process of recording drivers usage | Destroy 7 years after closure | <ul style="list-style-type: none"> • Vehicle log book | |
| Insurance | | | | |
| Policy Management | | | | |
| 8.18 | The summary management of insurance arrangements | Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded. | <ul style="list-style-type: none"> • Insurance register | |
| 8.19 | The process of insuring local authority officers, property, vehicles and equipment against negligence, loss or damage | Destroy 7 years after the terms of the policy have expired | <ul style="list-style-type: none"> • Insurance policies • Correspondence | |

Property and Land Management

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|----------|---|---|---|-------|
| 8.20 | The process of renewing insurance policies | Destroy 5 years after the insurance policy has been renewed | <ul style="list-style-type: none">• Insurance policy• Renewal records• Correspondence | |
| | Claims Management | | | |
| 8.21 | The process that records insurance claims against the local authority or local authority officers | Destroy 7 years after all obligations/entitlements are concluded (allowing for the claimant to reach 25 years of age) | <ul style="list-style-type: none">• Claims records• Correspondence | |

General Public Services

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|------------------------------------|--|---|--|------------------------------------|
| Health and Safety | | | | |
| Inspections and Assessments | | | | |
| 9.1 | Process of inspecting equipment to ensure it is safe | Destroy 6 Years from destruction of the equipment | <ul style="list-style-type: none"> Equipment inspection records | Statutory |
| 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 |
| 9.3 | Process of carrying out monitoring to ensure that the process is safe | Destroy 3 Years from last action | <ul style="list-style-type: none"> Monitoring results | Statutory |
| 9.4 | Process of monitoring of areas where employees and persons are likely to have become in contact with asbestos | Destroy 40 Years from last action | <ul style="list-style-type: none"> Property asbestos files | Common practice based on Statutory |
| 9.5 | Process of monitoring of areas where employees and persons are likely to have come in contact with radiation | Destroy 50 Years from last action or at age 75 years whichever is the greater | <ul style="list-style-type: none"> Radon monitoring | |

General Public Services

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|---------------------------|--|---|---|--------------------|
| 9.6 | Process to ensure safe systems of work | Retain until superseded or process ceases +1 year | | Common practice |
| 9.7 | Process to assess the level of risk | Destroy 3 Years from last assessment | <ul style="list-style-type: none"> • Risk assessment | Statutory |
| 9.8 | Processes that permit work | Destroy 1 Year from last action | | Common practice |
| 9.9 | Process that records injuries to adults | Destroy 3 Years from closure | <ul style="list-style-type: none"> • Accident books | Statutory |
| 9.10 | Process that records injuries to children | Destroy 25 Years from closure | <ul style="list-style-type: none"> • Accident books | Based on Statutory |
| Emergency Planning | | | | |
| 9.11 | Process to develop the emergency/disaster plan for the local community | Permanent. Offer to Archivist for review. Transfer to place of deposit after superseded | <ul style="list-style-type: none"> • Major Incident Plan | |
| 9.12 | Process of recording the results of the test for emergency/disaster plan for the local community | Destroy 10 years after closure | | |

General Public Services

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|----------|--|---|--|------------------------|
| 9.13 | <p>Major Incident</p> <p>Activities that report on all major incidents in the local community, whether the emergency plan has been invoked or not</p> | <p>Permanent. Offer to Archivist for review.</p> <p>Transfer to place of deposit after administrative use is concluded</p> | | |
| 9.14 | <p>Activities that report on all minor incidents in the local community</p> | <p>Destroy 7 years after closure</p> | | |
| 9.15 | <p>Enforcement Certification and Prosecution</p> <p>Registration, Certification and Licensing</p> <p>Summary management systems that allow the monitoring & management of registration, certification and licences registration requirements in summary form</p> | <p>Permanent. Offer to Archivist for review.</p> <p>Transfer to place of deposit after administrative use is concluded</p> | <ul style="list-style-type: none"> Visual impairment register | <p>Common practice</p> |

General Public Services

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|----------|--|---|--|--|
| 9.16 | The administration of applications, registration, certification and licences in relation to local authorities' registration requirements | Destroy 2 years after registration or entitlement lapses | <ul style="list-style-type: none">• Applications for animal registration• Applications for registration of a business premises• Applications for release of animals impounded• Registers• Certificates of registration of:<ul style="list-style-type: none">• door supervisors• taxi drivers• beauty therapists• Animal movement licences• Gaming• Fire certification• Disabled Parking permits• Blue badge• Registration to sell poison | <u>Statutory</u> Note: may want archival review in cases of licensing of children in entertainment |

General Public Services

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|----------|--|--|---|---|
| 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) | Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded - 60 years after registration or entitlement lapses | <ul style="list-style-type: none"> • Diesel licences • Petroleum licences • Health and safety licensing • Hazardous substances • Contaminated land register/pollution | Common practice |
| 9.18 | The process of registration of homes or carers for the care and support of children, in the responsibility of the local authority | Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded - 25 years from closure of centre, or discontinuation of care | <ul style="list-style-type: none"> • Organisation files • Child carers files • Childcare registration • Day care registration • Children's home | Common practice The responsibility of OFSTED from 1 st April 2002 |
| 9.19 | Notification The process of issuing notices to citizens with respect to particular responsibilities | Destroy 2 years after the matter is concluded | <ul style="list-style-type: none"> • Fire Prevention notices • Fire Prevention Infringement notices • Objections to notices • Appeals against notices • Registration of premises Infringement notices • Animal Impounding notices | Common practice |

General Public Services

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|----------|---|--|---|-----------------|
| | Investigation, Inspection and Monitoring | | | |
| 9.20 | The process of investigation, monitoring or inspection laws in the responsibility of the local authority | Destroy 7 years from last action. | <ul style="list-style-type: none"> • Trading standards sample and inspections records • Fire certificate compliance inspections | Common practice |
| | Prosecution | | | |
| 9.21 | The process of prosecution or sanction of an individual or organisation for failing to comply with their legal responsibilities | Destroy 7 years from last action. | <ul style="list-style-type: none"> • Prosecution/sanction files | Common practice |
| | Bye-Laws | | | |
| | Enactment | | | |
| 9.22 | The process of making local laws | Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded | <ul style="list-style-type: none"> • Master Set of bye-laws • Policy Development documents • Correspondence • Submissions | Common practice |

General Public Services

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|----------|---|--|--|-----------------|
| | Administration & Enforcement | | | |
| 9.23 | The process of administering and enforcing bye-laws | Destroy 2 years after certificate has expired or penalty payment has been made or the matter has been finished or correspondence on the matter has ceased | <ul style="list-style-type: none"> • Applications and certificates • Permits • Licences • Infringement notices (Parking) • Correspondence | Common practice |
| | Cemeteries & Crematoria | | | |
| 9.24 | Summary management systems that record the location of burials and identity of deceased individuals | Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded | <ul style="list-style-type: none"> • Register of interments • Cemetery register • Cemetery plans | Common practice |
| 9.25 | The process of regulation of burials and cremations | Destroy 5 year after last action | <ul style="list-style-type: none"> • Permits • Applications • Orders | Common practice |

General Public Services

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|----------|---|---|--|-----------------|
| | <p>Waste Management The provision of hard waste removal, destruction and waste reduction services by the local authority to ratepayers</p> | | | |
| | <p>Collection</p> | | | |
| 9.26 | The process of arranging the collection or transportation of household waste | Destroy 2 year after last action | | Common practice |
| 9.27 | The process of arranging the collection or transportation of controlled waste | Destroy 6 year after last action | | Common practice |
| | <p>Disposal of Waste</p> | | | |
| 9.28 | The summary management of sites used for the disposal of waste within the local authority | <p>Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded</p> | | Common practice |
| 9.29 | The process of the short-term storage of household waste | Destroy 10 year after site closure | <ul style="list-style-type: none"> • Transfer sites | Common practice |

General Public Services

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|----------|--|--|--|-----------------|
| 9.30 | The process involved in managing the use, type and amount of waste to be disposed at a specific site | Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded | <ul style="list-style-type: none">• Waste site plans | Common practice |

Planning and Land Use

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|----------|--|--|--|-----------------|
| | Planning Scheme Development and Amendment | | | |
| 10.1 | The activity of developing a vision and strategic directions regarding existing and future land use within the Local Authority and the development of local and town centre plans to ensure the implementation of the Structure Plan | Permanent. Offer to Archivist when plan superseded | <ul style="list-style-type: none"> • Structure Plan • Local Plan • Town Centre plans • Unitary Development plans | Common practice |
| 10.2 | The activity of consultation to gain approval for the Structure Plan (Unitary Development Plans) or Local Plans | Permanent. Offer to Archivist for review after 3 years. | <ul style="list-style-type: none"> • Consultation documents and replies • Inquiries and objections made by members of public • Public Inquiry documents | Common practice |

Planning and Land Use

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|----------|---|--|--|-----------------|
| 10.3 | The activity of recording information on historical buildings, monuments and ecology at a specific site | Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded | <ul style="list-style-type: none"> • Sites and Monuments records • Ecological records • Species records • Historically listed buildings • Definitive map • Commons registration | Common practice |
| 10.4 | The activity of establishing planning scheme controls and providing for them to be amended | Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded | <ul style="list-style-type: none"> • Successful Waste Planning application • Successful Mineral Planning applications • Amendments to definitive map • Mineral Register • Applications for mineral extraction • Land Use surveys | Common practice |
| 10.5 | The process of receiving, considering and responding to submissions and objections to planning schemes and amendments | Destroy 15 years after decision. Offer controversial/high profile schemes to Archivist | <ul style="list-style-type: none"> • Waste Planning application consultation • Mineral Planning applications consultation • Objections • Inquiries – Public etc • Archaeological: advice/conditions | Common practice |

Planning and Land Use

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|----------|--|---|--|-----------------|
| 10.6 | The process of controlling development of areas through applications for planning permission | Transfer planning application register to Archivist once the register has been completed (or at arranged intervals if it is held electronically) Refer all other records to Archivist for sampling | <ul style="list-style-type: none"> • Planning application files and plans • Correspondence relating to any objections • Hearing papers • Planning application register | Common practice |
| 10.7 | The process of maintaining the countryside and developing open spaces for public amenity | Refer all files relating to policy to the Archivist Destroy other files 7 years after administrative use concluded | <ul style="list-style-type: none"> • Tree preservation orders • Country parks and nature reserves development plans and correspondence, land purchase agreements | Common practice |
| | Planning Scheme Regulation | | | |
| 10.8 | The summary management of planning scheme regulation | Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded | <ul style="list-style-type: none"> • Building Control registers | Common practice |

Planning and Land Use

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|----------|---|--|--|-----------------|
| 10.9 | The process of regulating the planned use of land or buildings | Destroy 15 years after closure | | Common practice |
| 10.10 | The process of approving building applications in relation to listed or other significant buildings | Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded | <ul style="list-style-type: none"> • Building files • Plans • Specifications • Correspondence • Applications • Permits • Certificates | Common practice |
| 10.11 | The process of approving building applications, for all other buildings | Destroy 15 years after construction completed | <ul style="list-style-type: none"> • Building files • Plans • Specifications • Correspondence • Applications • Permits • Certificates • Objections | Common practice |
| 10.12 | The process of inspecting building work for the purpose of insuring compliance. | Destroy 10 years after the issue of a certificate of final inspection | <ul style="list-style-type: none"> • Certificate of final inspection • Building Inspection records • Diaries | Common practice |
| 10.13 | The process of enforcing building or land regulations | Destroy 3 years after compliance with enforcement notice | | |

Infrastructure and Transport

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|----------|--|---|--|-----------------|
| | Planning and Development | | | |
| 11.1 | The activity of developing a vision and strategic directions regarding existing transport and infrastructure within the municipality | Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded | <ul style="list-style-type: none"> • Structure Plan • Local transport plan | Common practice |
| 11.2 | The activity of recording location of highways, bridle paths and rights of way | Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded | <ul style="list-style-type: none"> • Definitive map • Correspondence concerning enquiries and disputes | Common practice |
| 11.3 | The activity of establishing planning scheme controls and providing for them to be amended and modified | Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded | <ul style="list-style-type: none"> • Amendments to definitive map • Road adoption | Common practice |
| 11.4 | The process of receiving, considering and responding to submissions and objections to planning schemes and amendments | Destroy 7 years after decision. Offer controversial/high profile schemes to Archivist | <ul style="list-style-type: none"> • Enquiries, consultation documents, objections and correspondence | Common practice |

Infrastructure and Transport

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|--------------------------------|--|--|--|-----------------|
| 11.5 | The process of enforcing infrastructure and transport regulations | Destroy 50 years after enforcement notice. Destroy 3 years after compliance with enforcement notice. | | Common practice |
| Traffic Management | | | | |
| 11.6 | The activity of planning, and programming the continued flow, diversion or reduction of traffic | Destroy 7 years after action completed | <ul style="list-style-type: none"> • Traffic orders | Common practice |
| Design and Construction | | | | |
| 11.7 | The activity of planning, designing, programming and constructing roads, streets, bridges, and tunnels | Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded | | Common practice |

Infrastructure and Transport

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|----------|---|-----------------------------------|--|-----------------|
| 11.8 | Infrastructure Management and Maintenance The activity of providing municipal services in relation to infrastructure within the local authority | Destroy 7 years after last action | <ul style="list-style-type: none">• Street files• Street records Requests for: <ul style="list-style-type: none">• Hedge clipping• Tree planting• Naming of streets• Numbering of houses• Street load limits• Street signs• Bus shelters• Applications to dig up pavements• HGV application• Advice / comment• Level crossings• Right of ways• Roundabouts• Traffic calming measures• Street lighting | Common practice |

Infrastructure and Transport

General Disposal Guidelines for Local Authorities

Records Management Society of Great Britain

| Ref. No. | Function Description | Retention Action | Examples of Records | Notes |
|----------|--|---|--|-----------------|
| | Road Maintenance | | | |
| 11.9 | The activity of maintaining and repairing roads, streets, bridges, bridle paths, rights of way and tunnels | Destroy 12 years after action completed | | Common practice |
| | Public Transport Services | | | |
| 11.10 | | | | |
| 11.11 | The activities involved in the management and provision of public transport | Destroy 3 years after superseded or last action. | <ul style="list-style-type: none">• Timetables and routes• Maps• Fares Customer and industry liaison | Common practice |

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