

NORTH NORFOLK DISTRICT COUNCIL

Data Retention Guidelines

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Part 1 Establishment of the Guidelines

1.1.0 Scope of the Guidelines

- 1.1.1 These Retention Guidelines have been adapted from those issued by the Record Management Society of Great Britain. The original guidelines were issued to support local authorities in the areas of Data Protection, Freedom of Information and the Local Government Act.
- 1.1.2 The Guidelines are intended to be independent of any particular format of record that might be historically created (e.g. card, register) or media (e.g. paper, electronic) and prolong the Guidelines' period of application.
- 1.1.3 The Guidelines are intended to cover the continuum of records and information from creation through to destruction or for retention for historical or research purposes.
- 1.1.4 Records sentenced for destruction under the Guidelines may be destroyed in accordance with the provisions of the Guidelines. Backup copies stored on alternative media (server/microfilm/paper) should also be destroyed. This is vital to ensure compliance with the requirements of Data Protection and Freedom of Information legislation.
- 1.1.5 Records for permanent preservation should be passed to the local authority's Archivist or its agency's place of deposit. In most cases this will be the appropriate local Record Office.

1.2.0 Limitation of Scope

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

1.3.0 Objectives of the Retention Guidelines

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

1.4.0 Transfer of Records to Archival Storage

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

The Archivist should be informed of sensitivity at the time of transfer of the material to the archives, and an appropriate closure period agreed. The closure period should comply with Freedom of Information legislation and the authority's policy.

1.5.0 Destruction of Records

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

1.6.0 Standard Operating Procedure (SOP)

- 1.6.1 There are some records that do not need to be kept at all; Standard Operating Procedure defines types of records which staff may routinely destroy in the normal course of business. However, the retention and disposal schedule must still contain reference and instructions referring to them.
- 1.6.2 SOP usually applies to information that is duplicated, unimportant or only of short-term facilitative value. Unimportant records or information include:
- 'with compliments' slips
 - catalogues and trade journals
 - telephone message slips
 - non-acceptance of invitations
 - trivial electronic mail messages or notes that are not related to agency business
 - requests for stock information such as maps, plans or advertising material
 - out-of-date distribution lists
 - working papers which lead to a final report
- 1.6.3 Duplicated and superseded material such as stationery, manuals, drafts, forms, address books and reference copies of annual reports may be destroyed under SOP. Electronic copies of documents where a hard copy has been printed and filed, and thermal paper facsimiles after making and filing a photocopy, are also covered.
- 1.6.4 SOP should not be applied to records or information that can be used as evidence – to prove that something happened. If you are in doubt about what information is required consult with your legal unit.

1.7.0 Reviewing the Schedule

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

2.0.0 Glossary of terms

- Administrative Use:** When business use has been ended or the file has been closed.
- Closure:** "Destroy 'x' years from closure". A record/file is closed when it ceases to be active. After closure, no new papers/information should be added to the record. Triggers for closure of a file include: reaching an unmanageable size; covering a period of 'x' years or more; no records added for 'x' period of time; no action taken after 'x' period of time.
- Closure period:** Specified period of time during which the record is subject to restrictions on provision of access to staff and/or the public may be dictated by statutory requirements or by the authority's policy. Any closure period should comply

with current legislation on access to local government information - including the Data Protection and Freedom of Information Acts.

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

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

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

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

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Democratic Processes

Type	Item	Description	Disposal
Elections Preparation	1.1	Summary certification of those eligible to vote. • Electoral Register.	Permanent. Offer to Archivist after administrative use is concluded. Common Practice
	1.2	Voting (Local elections only) • Ballot Papers	Destroy 6 months from close of poll Statutory

Results	1.3	Declaration of results (local elections only) • Consolidated returns of votes received.	Destroy 6 months from date of election. Statutory
Council and Committee Meetings	1.4	The process of preparing business for Council consideration and making the record of discussion, debate and re Transfer to place of deposit after administrative use is concluded. • Council minutes • Council agenda and business papers • Council notice papers and proceedings • Indexes • Committee minutes • Register of delegations to Special Committees.	Permanent. Officer to Archivist. Common Practice
Retention Action Examples of Record Notes	1.5	Minute taking. • Draft/rough minutes • Audio tapes	Destroy after date of confirmation of the minutes 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. • Documents establishing the committee • Agendas • Minutes • Council reports • Recommendations • Supporting documents such as Council briefing and discussion papers	Transfer to place of deposit after administrative use is concluded Permanent. Offer to Archivist. 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. • Documents establishing the committee • Reports • Recommendations • Supporting documents such as briefing and discussion papers.	Destroy 3 years after last action. Common practice
Honours and Submissions	1.8	The process of preparing of honours submission • Covering documentation • Letters of support • Referral for comment from lord lieutenant	Common practice

Political Parties Papers	1.9	The process of undertaking representation of the local authority – local authority representatives <ul style="list-style-type: none"> •Leader of opposition papers •Leader of council papers 	Destroy 3 years after last action. Common practice
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Management and Administration

Corporate Planning and Reporting	2.1	The corporate planning and reporting activities of local authorities. <ul style="list-style-type: none"> •Corporate Plans •Strategy Plans •Business Plans •Annual Reports 	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded. Common practice
	2.2	The process of preparing business for strategic consideration and making the record of discussion, debate and resolutions. <ul style="list-style-type: none"> •Strategic management team minutes 	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded Common practice
	2.3	The process of preparing business for cross departmental consideration and making the record of discussion, debate and resolutions.	Destroy 3 years from closure. Common practice
	2.4	The process of preparing business for Unit/Team consideration and making the record of discussion, debate and resolutions	Destroy 3 years from closure. Common practice
Statutory returns	2.5	The process of preparing information to be passed onto central government as part of statutory requirements <ul style="list-style-type: none"> •Reports to central government 	Destroy 7 years from closure. Common practice
Policy, Procedures, strategy and Structure	2.6	Activities that develop policies, procedures, strategies and structures for the local authorities <ul style="list-style-type: none"> • Policy, procedure, precedent, instructions • Organisation charts • Records relating to policy implementation and development • Education plan • Asset management plan • Community plan •Community safety plan 	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded. Common practice

	2.7	The process of monitoring and reviewing strategic plans, policies or procedure to assess their compliance with guidelines	Destroy 5 years from closure. Common practice
Public Consultation	2.8	The process of consulting the public and staff in the development of significant policies of the local authority.	Destroy 5 years from closure. Common practice
	2.9	The process of consulting the public and staff in the development of minor policies of the local authority.	Destroy 1 year from closure. Common practice
Information Management	2.10	The activity whereby standards, authorities, restraints and verifications are introduced and maintained to manage information effectively. 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 	Permanent. Officer to Archivist for review. Common practice
	2.11	The management of collections of records transferred to the archives <ul style="list-style-type: none"> • Accession registers • Depositor files 	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded. Common practice
	2.12	The process that records the disposal of records. <ul style="list-style-type: none"> • Disposal certificates 	Destroy 12 years after last action. Common practice based on Limitation Act
Enquiries and Complaints	2.13	The management in summary form of enquiries and complaints directed to Council <ul style="list-style-type: none"> • Indexes • Registers 	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded. Common practice
	2.14	The management of enquiries, submissions and complaints which result in significant changes to policy or procedures <ul style="list-style-type: none"> • Reports • Returns • Correspondence 	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded Common practice
	2.15	The management of detailed responses on council actions, policy or procedures	Destroy 6 years after administrative use is

		<ul style="list-style-type: none"> • Reports • Returns • Correspondence • Ombudsman 	concluded. Common practice
	2.16	The management of routine responses on council actions, policy or procedures. <ul style="list-style-type: none"> • Printed material • Form letters 	Destroy 2 years after administrative use is concluded. Common practice
Quality and performance management	2.17	The process of monitoring or reviewing the quality, efficiency, or performance of a local authority service or unit <ul style="list-style-type: none"> • Best Value Review 	Destroy 5 years from closure. Common practice
	2.18	The process of assessing the quality, efficiency, or performance of a local authority service or unit <ul style="list-style-type: none"> • Assessment form 	Destroy 2 years from closure. 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. Note: One copy from the initial print run should go directly to the archive.	Common practice
Media Relations	2.21	Process of interaction with the media.	Destroy 3 years from closure. Common practice
	2.22	Media publications concerning local authorities <ul style="list-style-type: none"> • Press cuttings • Media reports 	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded. 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. <ul style="list-style-type: none"> • Visitors' book • Audio tapes • Video tapes • Photographs 	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded Common practice

	2.25	The process of organising a ceremonial event or civic occasions.	Destroy 7 years after administrative use is concluded. Common practice

Client Services

Residential Homes	3.24	Summary management systems that manage adults housed by the local authority <ul style="list-style-type: none"> • Adults home Registers • Admissions Registers • Discharge Registers 	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded 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 <ul style="list-style-type: none"> • Council housing register 	Permanent. Offer to Archivist. Common practice
	3.27	The process for applying for council housing (Unsuccessful applications only, successful applications will generally be placed on the tenancy file) <ul style="list-style-type: none"> • Council housing Application forms and supporting material • Application for transfer of tenancy and supporting papers 	Destroy 7 years after closure. Common practice
	3.28	The process for managing the tenancy of an individual tenant. 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 <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 	Destroy 12 years after termination of tenancy. Common practice

		referral from another agency	
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Legal and Contracts

Litigation	4.1	The process of managing, undertaking or defending for or against litigation on behalf of the local authority <ul style="list-style-type: none"> • Criminal case file • Childcare case file • Civil case file • correspondence 	Destroy 7 years after last action. Major litigation – offer to Archivist for review. Common practice
Advice	4.2	The process of providing legal advice on a point of law.	Destroy 3 years after last action – unless a major precedent, then offer to Archivist for review. Common practice
Agreements	4.3	Process of agreeing terms between organisations. Note: this does not include contractual agreements. Mainly to do with agreements between public bodies, not in regard to contracts. Depends on value of agreement. <ul style="list-style-type: none"> • Concordat 	Destroy 6 years after agreement expires or is terminated. Common practice
Conveyance (see also Property Acquisition and Disposal)	4.4	The process of changing ownership of land or property <ul style="list-style-type: none"> • Conveyancing files 	Destroy 12 years after closure. Statutory

Legal and Contracts

Contracts and Tendering – Pre Contract Advice	4.5	The process of calling for expressions of interest <ul style="list-style-type: none"> • Expressions of Interest 	Destroy 2 years after contract let or not proceeded with. Common practice
Specification and Contract Development	4.6	The process involved in the development and specification of a contract. <ul style="list-style-type: none"> • Tender specification Note: for project files containing drafts leading to a final version these records can be destroyed.	Ordinary Contracts: Destroy 6 years after the terms of contract have expired. Contracts Under Seal: Destroy 12 years after the terms of contract have expired. Statutory
Tender Issuing and Return	4.7	The process involved in the issuing and return of a tender. <ul style="list-style-type: none"> • Opening notice • Tender envelope 	Destroy 1 year after start of contract. Common practice

Evaluation of Tender	4.8	<ul style="list-style-type: none"> • Ordinary Contracts: • Contracts Under Seal: • Evaluation criteria 	<p>Destroy 6 years after the terms of contract have expired.</p> <p>Destroy 12 years after the terms of contract have expired.</p> <p>Statutory</p>
	4.9	<p>Successful tender document</p> <p>Ordinary Contracts:</p> <ul style="list-style-type: none"> • Contracts Under Seal: • Tender documents • Quotations 	<p>Destroy 6 years after the terms of contract have expired</p> <p>Destroy 12 years after the terms of contract have expired.</p> <p>Statutory</p>
	4.10	<p>Unsuccessful tender documents</p> <ul style="list-style-type: none"> • Tender documents • Quotations 	<p>Destroy 1 year after start of contract.</p> <p>Common practice</p>
Post Tender Negotiation	4.11	<p>The process in negotiation of a contract after a preferred tender is selected.</p> <ul style="list-style-type: none"> • Clarification of contract • Post tender negotiation minutes 	<p>Destroy 1 year after terms of contract have expired.</p> <p>Common Practice</p>
Awarding of contract	4.12	<p>The process of awarding of contract.</p> <p>Ordinary Contracts:</p> <p>Contracts Under Seal:</p> <ul style="list-style-type: none"> • Signed contract 	<p>Destroy 6 years after the terms of contract have expired.</p> <p>Destroy 12 years after the terms of contract have expired.</p> <p>Statutory</p>
Contract Management	4.13	<p>Contract operation and monitoring.</p> <ul style="list-style-type: none"> • Service Level Agreements • Compliance reports • Performance reports 	<p>Destroy 2 years after the terms of contract have expired.</p> <p>Common practice</p>
	4.14	<p>Management and amendment of contract.</p> <p>(a) Ordinary Contracts</p> <p>(b) Contracts Under Seal</p> <ul style="list-style-type: none"> • Minutes and papers of meetings • Changes to requirements • Variation forms • Extension of contract • Complaints • Disputes on payment 	<p>Destroy 6 years after the terms of contract have expired.</p> <p>Destroy 12 years after the terms of contract have expired.</p> <p>Statutory</p>
Tenancy Agreements	4.15	<p>The process of awarding tenancies in welfare housing.</p> <p>a) Ordinary Tenancy</p>	<p>Destroy 6 years after the terms of agreement have</p>

		b) Tenancy Under Seal <ul style="list-style-type: none"> • Signed tenancy agreements • Sealed tenancy agreements 	expired. Destroy 12 years after the terms of agreement have expired. Statutory
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Human Resources

Personnel administration	6.1	Summary management systems that allow the monitoring & management of employees in summary form. Note: The summary information that this record class attempts to capture is:- Name DOB Date of appointment Work history details Position/designation Titles & dates held. Transfer to place of deposit after administrative use is concluded. <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 	Permanent. Offer to Archivist for review. Common practice
	6.2	The process of administering employees to obligations are in accordance with agreed employment requirements. <ul style="list-style-type: none"> • Records containing superannuation information • Medical clearance • Letter of appointment • Letter of acceptance • Details of assigned duties • Probation reports • Medical examinations • Personal particulars • Educational qualifications • Declarations of pecuniary interests • Secrecy undertakings • Employment contracts 	Destroy 6 years from date of last pension payment. Common practice
	6.3	Records relating to staff working with children	Termination + 25 years
	6.4	All other records	Termination + 6 years

Employee and Industrial Relations	6.5	Identification & development of significant directions concerning industrial matters <ul style="list-style-type: none"> • Generic agreements and awards • Negotiations • Disputes • claims lodged 	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded Common practice
	6.6	Liaison processes of minor and routine industrial matters. <ul style="list-style-type: none"> • Daily industrial relations management 	Destroy 2 years after administrative use is concluded. Common practice
	6.7	Processing of disciplinary and grievances investigations where proved Oral Warning – 6 months Written Warning – 1 year Final Warning – 18 months Warnings Involving Children 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. <ul style="list-style-type: none"> • Disciplinary 	Destroy immediately after the grievance has been found to be have been unfounded; or after appeal. Common practice
Equal Employment Opportunities	6.9	The process of investigation and reporting on specific cases to ensure that entitled & obligations are in accordance with agreed Equal Employment Opportunities guidelines policies.	Destroy 5 years after action completed. Common practice
Occupational Health	6.10	The process of checking and ensuring the health of staff. <ul style="list-style-type: none"> • Health questionnaire • Medical clearance • Adjustment to work place • Restrictions • Recommendations 	Destroy 75 years after DOB. Common practice
Recruitment	6.11	The selection of an individual for an established position.	Destroy 1 year after recruitment has been

		(For letter of appointment for successful candidate use employment conditions) <ul style="list-style-type: none"> • Advertisements • Applications • Referee reports • Interview reports • Unsuccessful applicants 	finalised. Common practice
Staff Monitoring	6.12	Performance <ul style="list-style-type: none"> • Probation reports • Performance plans 	Destroy 5 years after action completed. Common practice
	6.13	Process of monitoring staff leave and attendance. <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 	Destroy 2 years after action completed. Common practice
	6.14	Financial reward. All records relating to actual payments are dealt with under finance	Destroy 7 years after action completed. Common practice
	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. <ul style="list-style-type: none"> • Resignation • Redundancy (Section 188) • Dismissal • Death • Retirement 	Destroy 6 years after termination. If a pension is paid then records should be destroyed 6 years after last payment of pension. Common practice
Training and Development	6.17	Routine staff training processes, not occupational health and safety or children related. <ul style="list-style-type: none"> • Course individual staff assessment 	Destroy 2 years after action completed. Common practice
	6.18	Training (concerning children) <ul style="list-style-type: none"> • Course individual staff assessment • training register 	Destroy 35 years after training completed, or last entry. Common practice
	6.19	Training (occupational health and safety training). <ul style="list-style-type: none"> • OH&S training register 	Destroy 50 years after training completed Individual course assessment records should be destroyed

			once the training has been renewed every 3 years. Common practice
	6.20	Training (materials)	Destroy 1 year after course is superseded. Common practice
	6.21	Training (proof of completion) <ul style="list-style-type: none"> • Certificates Common practice • Awards • Exam results 	Destroy 7 years after action completed. Common practice
Appointments of Statutory Officers	6.22	Summary management systems that allow the monitoring & management of statutory officers in summary form. <ul style="list-style-type: none"> • Magistrates register 	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded. Common practice
	6.23	The process of administering employees to ensure that entitlements & obligations are in accordance with agreed employment requirements.	Destroy 6 years after departure from employment. Common practice
	6.24	The appointment of an individual for a statutory position. <ul style="list-style-type: none"> • Appointment Files 	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded. Common practice
	6.25	The process of selection of an individual for a statutory position. <ul style="list-style-type: none"> • Vacancies & applications records • Interview notes • Prospective staff records • Registers of applicants • Unsuccessful applications records 	Destroy 2 years after date of appointment. Common practice

Financial Management

Accounts & Audit Reporting	7.1	The process that consolidates financial transactions on an annual basis for corporate reporting purposes. <ul style="list-style-type: none"> • Consolidated annual reports • Consolidated financial statements • Statement of financial position • Operating statements • General ledger 	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded. Common practice
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	7.2	<p>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.</p> <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 	<p>Destroy when administrative use is concluded.</p> <p>Common practice</p>
Financial Transactions Management	7.3	<p>Management of the approvals process for purchase, including investigations.</p> <ul style="list-style-type: none"> • Appointments & delegations • Audit investigations • Arrangements for the provision of goods and/or services 	<p>Destroy 7 years after the end of the financial year in which the records were created.</p> <p>Statutory</p>
	7.4	<p>Identification of the receipt, expenditure and write offs of public monies.</p> <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 	<p>Destroy 6 years after the conclusion of the financial transaction that the record supports. This period may be reduced with the agreement of Customs and Excise and/or the Inland Revenue.</p> <p>Statutory</p>
	7.5	<p>Process involving the individuals using public transportation.</p> <ul style="list-style-type: none"> • Applications • Card issue • Rail warrants 	<p>Destroy 6 years after the conclusion of the financial transaction that the record supports.</p> <p>Statutory</p>
	7.6	<p>Processes that balance & reconcile financial accounts.</p> <ul style="list-style-type: none"> • Reconciliation • Summaries of accounts 	<p>Destroy 2 years after administrative use is concluded.</p> <p>Common practice</p>
	7.7	<p>Taxation Records</p> <ul style="list-style-type: none"> • Taxation records • Motor vehicle logs • Fringe benefits tax records • Group certificates 	<p>Destroy 5 years after the end of the financial year in which the records were created.</p> <p>Statutory</p>

	7.8	Processes involved in the collection of National Insurance Number • Notification & input records	Destroy 2 years after the employee ceases employment. Common practice
Payroll	7.9	Accountable processes relating to payment of employees. • Authority sheets • Payroll deduction authorities • Payroll disbursement • Employee pay records • Employee taxation records	Destroy 7 years after the conclusion of the financial transaction that the record supports. Statutory
	7.10	Non-accountable processes relating to payment of employees. • Summary employee pay reports	Destroy after administrative use is concluded. Common practice
Financial Provisions Budgets and Estimates	7.11	The process of finalising local authorities' annual budget. • Annual budget Transfer to place of deposit after administrative use is concluded. Only the final version of the annual budget needs to be kept.	Permanent. Offer to Archivist.
	7.12	The process of developing local authorities' annual budget. • Draft budgets • Departmental budgets • Draft estimates	Destroy 2 years after annual budget adopted by local authorities. Common practice
	7.13	The process of reporting which examines the budget in relation to actual revenue and expenditure. • Quarterly statements	Destroy after next year's annual budget has been adopted by Local Authorities. Common practice
Loans	7.14	The activity of borrowing money to enable a local authority to perform its functions and exercise its powers • Loan files	Destroy 7 years after the loan has been repaid. Statutory
	7.15	Summary management of loans. Transfer to place of deposit after administrative use is concluded. • Loans registers	Permanent. Offer to Archivist. Common practice
Housing	7.16	Mortgages. The process of offering financial help with welfare housing provision and maintenance Last payment + 6 years if signed Last payment + 12 years if sealed	Statutory

		<ul style="list-style-type: none"> • Mortgage agreements • Correspondence 	
	7.17	<p>“Right to Buy”</p> <ul style="list-style-type: none"> • Sale documents • Agreement concerning sale 	<p>Destroy 12 years after sale of house.</p> <p>Common practice</p>
	7.18	<p>Rent Payments</p> <ul style="list-style-type: none"> • Rent books • Correspondence concerning payment • Requests for payment 	<p>Destroy 7 years after the end of the financial year in which created.</p> <p>Statutory</p>
	7.19	<p>Home Improvement Grants</p> <ul style="list-style-type: none"> • Agreement to pay loan • Details of payments • Correspondence relating to loan 	<p>For grants under £50,000 Destroy 6 years after last payment.</p> <p>For grants over £50,000 – Destroy 12 years after last payment.</p> <p>Where plans and detailed drawings included offer to Archivist.</p> <p>Statutory</p>
Council Tax Valuation	7.20	<p>The valuation of rateable land within a municipal district for the purpose of the making of the rate.</p> <ul style="list-style-type: none"> • Valuation lists • Correspondence • Objections • Reports 	<p>Valuation lists – Permanent. Offer to Archivist for review.</p> <p>Destroy 10 years after the year in which the valuation was made.</p> <p>Common practice</p>
Property History	7.21	<p>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.</p> <ul style="list-style-type: none"> • Rate Books • Rate Cards • Register of Rateable Properties 	<p>Permanent. Offer to Archivist for review.</p> <p>Transfer to Place of Deposit after administrative use is concluded.</p> <p>Common practice</p>
Rates and Local Authorities Tax Correspondence	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> <ul style="list-style-type: none"> • Notices • Objections • Applications • Correspondence • Rate certificates • Notices of acquisition and disposition 	<p>Destroy 7 years after last action.</p> <p>Common practice</p>

		<ul style="list-style-type: none"> • Rate property files 	
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. <ul style="list-style-type: none"> • Schedules of acquisitions • Consolidated current asset reports • Annual reports • Summary of current assets • Asset registers 	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded. Common practice
Asset Monitoring and Maintenance	7.25	Management systems that allow the monitoring & management of assets in summary form <ul style="list-style-type: none"> • Subsidiary asset registers 	Destroy 7 years after the conclusion of the financial transaction that the record supports. Common practice
	7.26	Process of reporting and reviewing assets status. <ul style="list-style-type: none"> • Routine returns and reports on asset status • Inventories • Stocktaking • Surveys of usage • Acquisition and disposal reports & proposals 	Destroy 2 years after administrative use is concluded. Common practice
	7.27	The process of maintaining assets <ul style="list-style-type: none"> • Garden maintenance • Cleaning • Painting 	Destroy 7 years after last action. Common practice
	7.28	The process of maintaining plant and equipment <ul style="list-style-type: none"> • Service records • Plant files 	Destroy 7 years after sale or disposal of asset. Common practice
Asset Acquisition and Disposal	7.29	Management of the acquisition (by financial lease or purchase) and disposal (by sale or write off) process for assets <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 	Destroy 6 years, if under £50,000 or 12 years if over £50,000, after all obligations/entitlements are concluded. Statutory

		<ul style="list-style-type: none"> • Conditions of contracts • Certificates of approval 	
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Property and Land Management

Property and Land Management	8.1	<p>Reports to management on overall property of the local authority</p> <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 	<p>Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded. Common practice</p>
Property Acquisition and Disposal (see also Conveyance)	8.2	<p>Management of the acquisition (by financial lease or purchase) process for real property (see also 21.1.0)</p> <ul style="list-style-type: none"> • Plans 	<p>Retain for life of property or building plus 12 years. Offer material re major/significant properties to Archivist for review. Common practice</p>
	8.3	<p>Management of the disposal (by sale or write off) process for real property.</p> <ul style="list-style-type: none"> • Legal documents relating to the sale • Particulars of sale documents • Board of Survey • Tender documents • Conditions of contracts 	<p>Destroy 15 years after all obligations/entitlements are concluded. Offer material re major/significant properties to Archivist for review. Common practice</p>
Property Development and Renovation	8.4	<p>The process of managing and undertaking renovations and development of property</p>	
	8.5	<p>Management of buildings and estates of "special interest"</p> <ul style="list-style-type: none"> • Project specifications • Plans • Installation manuals • Certificates of approval 	<p>Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded. Common practice</p>
For asbestos see Health and Safety under General Public Services	8.6	<p>Management of all other buildings and estates.</p> <ul style="list-style-type: none"> • Project specifications • Plans • Installation manuals • Certificates of approval 	<p>Retain for life of property or building. Common practice</p>

	8.7	The action process involved in the development and renovation of property <ul style="list-style-type: none"> • Work orders • Tender documents • Conditions of contracts 	Destroy 7 years after the conclusion of the transaction that the record supports. Common practice
Leasing and Occupancy	8.8	The process of managing leased property <ul style="list-style-type: none"> • Lease agreements • Rental expenditure authorities • Valuation queries • Applications for leases, licences & rental revision 	Destroy 15 years after the expiry of the lease. Common practice
	8.9	The process of managing the occupancy of property. <ul style="list-style-type: none"> • Requests for works, cleaning, etc. 	Destroy 7 years after the conclusion of the transaction that the record supports. Common practice
Housing Provision	8.10	The process of managing local authority welfare housing estates <ul style="list-style-type: none"> • Stock monitoring records 	Destroy 4 years after last action. Common practice
Systems Management	8.11	The internal process to develop or extend the capabilities of a system used to support the activities of the local authority	Retain for life of system then destroy
	8.12	The process to implement a system used to support the activities of the local authority <ul style="list-style-type: none"> • Implementation plan 	Destroy 7 years after last action
	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. <ul style="list-style-type: none"> • Leases • Contracts • Quotes • Approvals • Fleet authorisation numbers 	Destroy 7 years after the disposal of the vehicle
	8.15	The process of managing allocation & maintenance of vehicles <ul style="list-style-type: none"> • Approvals as drivers • Allocations & authorisations for vehicles • Maintenance 	Destroy 7 years after the sale or disposal of the vehicle
	8.16	The process of recording vehicle usage <ul style="list-style-type: none"> • Vehicle usage reports 	Destroy 3 years after the sale or disposal of the

			vehicle
	8.17	The process of recording drivers usage • Vehicle log book	Destroy 7 years after closure
Insurance Policy Management	8.18	The summary management of insurance arrangements • Insurance register	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded.
	8.19	The process of insuring local authority officers, property, vehicles and equipment against negligence, loss or damage • Insurance policies •Correspondence	Destroy 7 years after the terms of the policy have expired
	8.20	The process of renewing insurance policies • Insurance policy Renewal records • Correspondence	Destroy 5 years after the insurance policy has been renewed
Claims Management	8.21	The process that records insurance claims against the local authority or local authority officers • Claims records • Correspondence	Destroy 7 years after all obligations/entitlements are concluded (allowing for the claimant to reach 25 years of age)

General Public Services

Health and Safety Inspections and Assessments	9.1	Process of inspecting equipment to ensure it is safe • Equipment inspection records	Destroy 6 years from destruction of the equipment. Statutory
	9.2	Processing the geotechnical assessments of a quarry. When quarry is no longer in use consult or refer to Health and Safety Executive (HSE)	Statutory
	9.3	Process of carrying out monitoring to ensure that the process is safe. • Monitoring results	Destroy 3 years from last action. Statutory
	9.4	Process of monitoring of areas where employees and persons are likely to have become in contact with asbestos • Property asbestos files	Destroy 40 years from last action. 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

	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 • Risk assessment	Destroy 3 years from last assessment. Statutory
	9.8	Processes that permit work	Destroy 1 year from last action
	9.9	Process that records injuries to adults • Accident books	Destroy 3 years from closure. Common practice Statutory
	9.10	Process that records injuries to children • Accident books based on Statutory	Destroy 25 years from closure
Emergency Planning	9.11	Process to develop the emergency/disaster plan for the local community • Radon monitoring • Major Incident Plan	Permanent. Offer to Archivist for review. Transfer to place of deposit after superseded
	9.12	Process of recording the results of the test for emergency/disaster plan for the local community	Destroy 10 years after closure
Major Incident	9.13	Activities that report on all major incidents in the local community, whether the emergency plan has been invoked or not	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded
	9.14	Activities that report on all major incidents in the local community.	Destroy 7 years after closure
Enforcement Certification and Prosecution Registration, Certification and Licensing	9.15	Summary management systems that allow the monitoring & management of registration, certification and licences registration requirements in summary form. • Visual Impairment Register	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded. Common practice
Retention Action Examples of Records Notes	9.16	The Administration of applications, registration, certification and licences in relation to local authorities' registration requirements. • Applications for animal registration • Applications for registration of a business premises	Destroy 2 years after registration or entitlement lapses. Statutory

		<ul style="list-style-type: none"> • 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 <p>Note: may want archival review in cases of licensing of children in entertainment</p>	
	9.17	<p>The process involved in holding or use of toxic or hazardous substances (including petroleum, agricultural chemical products or herbicides).</p> <ul style="list-style-type: none"> • Diesel licences • Petroleum licences • Health and safety licensing • Hazardous substances • Contaminated land register/pollution 	<p>Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded – 60 years after registration or entitlement lapses. Common practice</p>
	9.18	Not applicable to SNC	
	9.19	<p>The process of issuing notices to citizens with respect to particular responsibilities</p> <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 	<p>Destroy 2 years after the matter is concluded. Common practice</p>
Investigation, Inspection and Monitoring	9.20	<p>The process of investigation, monitoring or inspection laws in the responsibility of the local authority</p> <ul style="list-style-type: none"> • Trading standards sample and inspections records • Fire certificate compliance inspections 	<p>Destroy 7 years from last action. Common practice</p>
Prosecution	9.21	<p>The process of prosecution or sanction of an individual or organisation for failing to comply with their legal responsibilities</p> <ul style="list-style-type: none"> • Prosecution/sanction files 	<p>Destroy 7 years from last action. Common practice</p>
Bye-Laws Enactment	9.22	<p>The process of making local laws</p> <ul style="list-style-type: none"> • Master Set of by-laws • Policy Development documents 	<p>Permanent. Offer to Archivist for review. Transfer to place of</p>

		<ul style="list-style-type: none"> • Correspondence • Submissions 	<p>deposit after administrative use is concluded.</p> <p>Common practice</p>
Administration & Enforcement	9.23	<p>The process of administering and enforcing bye-laws.</p> <ul style="list-style-type: none"> • Applications and certificates • Permits • Licences • Infringement notices (Parking) • Correspondence 	<p>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.</p> <p>Common practice</p>
Cemeteries & Crematoria	9.24	<p>Summary management systems that record the location of burials and identity of deceased individuals</p> <ul style="list-style-type: none"> • Register of interments • Cemetery register • Cemetery plans 	<p>Permanent. Offer to Archivist.</p> <p>Transfer to place of deposit after administrative use is concluded.</p> <p>Common practice</p>
	9.25	<p>The process of regulation of burials and cremations</p> <ul style="list-style-type: none"> • Permits • Applications • Orders 	<p>Destroy 5 years after last action</p> <p>Common practice</p>
Waste Management		<p>The provision of hard waste removal, destruction and waste reduction services by the local authority to ratepayers</p>	
Collection	9.26	<p>The process of arranging the collection or transportation of household waste</p>	<p>Destroy 2 years after last action.</p> <p>Common practice</p>
	9.27	<p>The process of arranging the collection or transportation of controlled waste</p>	<p>Destroy 6 years after last action.</p> <p>Common practice</p>
Disposal of Waste	9.28	<p>The summary management of sites used for the disposal of waste within the local authority</p>	<p>Permanent. Offer to Archivist.</p> <p>Transfer to place of deposit after administrative use is concluded.</p> <p>Common practice</p>
	9.29	<p>The process of the short term storage of household waste.</p> <ul style="list-style-type: none"> • Transfer sites 	<p>Destroy 10 years after site closure.</p> <p>Common practice</p>
	9.30	<p>The process involved in managing the use, type and amount of waste to be disposed at a specific site.</p>	<p>Permanent. Offer to Archivist for review.</p> <p>Transfer to place of</p>

		<ul style="list-style-type: none"> • Waste site plans 	<p>deposit after administrative use is concluded.</p> <p>Common practice</p>
Planning Scheme Development and Amendment	10.1	<p>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</p> <ul style="list-style-type: none"> • Structure Plan • Local Plan • Town Centre plans • Unitary Development plans 	<p>Permanent. Offer to Archivist when plan superseded.</p> <p>Common practice</p>
	10.2	<p>The activity of consultation to gain approval for the Structure Plan (Unitary Development Plans) or Local Plans</p> <ul style="list-style-type: none"> • Consultation documents and replies • Inquiries and objections made by members of the public • Public Inquiry documents 	<p>Permanent. Offer to Archivist for review after 3 years.</p> <p>Common practice</p>
	10.3	<p>The activity of recording information on historical buildings, monuments and ecology at a specific site</p> <ul style="list-style-type: none"> • Sites and Monuments records • Ecological records • Species records • Historically listed buildings • Definitive map • Commons registration 	<p>Permanent. Offer to Archivist for review.</p> <p>Transfer to place of deposit after administrative use is concluded.</p> <p>Common practice</p>
	10.4	<p>The activity of establishing planning scheme controls and providing for them to be amended.</p> <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 	<p>Permanent. Offer to Archivist.</p> <p>Transfer to place of deposit after administrative use is concluded.</p> <p>Common practice</p>
	10.5	<p>The process of receiving, considering and responding to submissions and objections to planning schemes and amendments.</p> <ul style="list-style-type: none"> • Waste Planning application consultation • Mineral Planning applications consultation • Objections Common practice • Inquiries – Public etc • Archaeological advice/conditions 	<p>Destroy 15 years after decision.</p> <p>Offer controversial/high profile schemes to Archivist</p>

	10.6	The process of controlling development of areas through applications for planning permission <ul style="list-style-type: none"> • Planning application files and plans • Correspondence relating to any objections • Hearing papers • Planning application register 	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. Common practice
	10.7	The process of maintaining the countryside and developing open spaces for public amenity. <ul style="list-style-type: none"> • Tree preservation orders • Country parks and nature reserves development plans and correspondence, land purchase agreements 	Refer all files relating to policy to the Archivist . Destroy other files 7 years after administrative use concluded. Common practice
Planning Scheme Regulation	10.8	The summary management of planning scheme regulation. <ul style="list-style-type: none"> • Building Control registers 	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded. Common practice
	10.9	The process of regulation 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 <ul style="list-style-type: none"> • Building files • Plans • Specifications • Correspondence • Applications • Permits • Certificates 	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded. Common practice
	10.11	The process of approving building applications, for all other buildings <ul style="list-style-type: none"> • Building files • Plans • Specifications • Correspondence • Applications • Permits • Certificates • Objections 	Destroy 15 years after construction completed Common practice

	10.12	The process of inspecting building work for the purpose of insuring compliance. <ul style="list-style-type: none"> • Certificate of final inspection • Building Inspection records • Diaries 	Destroy 10 years after the issue of a certificate of final inspection. Common practice
	10.13	The process of enforcing building or land regulations	Destroy 3 years after compliance with enforcement notice

Infrastructure and Transport

Planning and Development	11.1	The activity of developing a vision and strategic directions regarding existing transport and infrastructure within the municipality <ul style="list-style-type: none"> • Structure Plan • Local transport plan 	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded. Common practice
	11.2	The activity of recording location of highways, bridle paths and rights of way <ul style="list-style-type: none"> • Definitive map • Correspondence concerning enquiries and disputes 	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded. Common practice
	11.3	The activity of establishing planning scheme controls and providing for them to be amended and modified <ul style="list-style-type: none"> • Amendments to definitive map • Road adoption 	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded. Common practice
	11.4	The process of receiving, considering and responding to submissions and objections to planning schemes and amendments <ul style="list-style-type: none"> • Enquiries, consultation documents, objections and correspondence 	Destroy 7 years after decision. Offer controversial/high profile schemes to Archivist. Common practice
	11.5	The process of enforcing infrastructure and transport regulations	Destroy 50 years after enforcement notice. Destroy 3 years after compliance with enforcement notice. Common practice
Traffic Management	11.6	The activity of planning, and programming the continued flow, diversion or reduction of traffic	Destroy 7 years after action completed Common practice

		<ul style="list-style-type: none"> • Traffic orders 	
Design and Construction	11.7	The activity of planning, designing, programming and constructing roads, streets, bridges, and tunnels	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded Common practice
Infrastructure Management and Maintenance	11.8	The activity of providing municipal services in relation to infrastructure within the local authority <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 Road Maintenance	Destroy 7 years after last action Common practice
	11.9	The activity of maintaining and repairing roads, streets, bridges, bridle paths, rights of way and tunnels	Destroy 12 years after action completed Common practice
Public Transport	11.10	Services. The activities involved in the management and provision of public transport <ul style="list-style-type: none"> • Timetables and routes • Maps • Fares • Customer and industry liaison 	Destroy 3 years after superseded or last action. Common practice

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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.

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