

OADBY & WIGSTON BOROUGH COUNCIL

# DOCUMENT RETENTION POLICY AND PROCEDURE



Policy Version Number: 2  
Policy Author: Head of Law and Democracy  
Date of Approval: July 2018  
Date of Policy Review: July 2021



**Oadby & Wigston**  
BOROUGH COUNCIL

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## 1.0 Statutory Basis and Scope of Guidelines

This procedure and policy has been written to facilitate Council compliance with the following legislation:

- The Data Protection Act 2018
- The Freedom of Information Act 2000
- The Local Government Act 1976

This procedure and policy reflect an understanding of administration processes and, as such, are deliberately independent of any particular format e.g. paper/electronic files

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

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

Records which are to be retained permanently should be kept securely.

Where records need to be kept for many years, it may be possible to scan paper documents for conversion to electronic files for ease of storage.

## 2.0 Objectives

The aim of this procedure and policy is to:

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

## 3.0 Standards for the Storage of Paper Records

The Council must ensure records are protected from damaging elements such as water, light, temperature, humidity, fire and infestation.

The security of the information must also be protected by keeping storage units and rooms locked when not in use. Access to keys must be restricted to the responsible service area employees.

Locations such as basements are not suitable for long term storage so alternative arrangements must be made.

## 4.0 Destruction of Records

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

Records, which are to be destroyed, must be done so in a secure manner. A Document Destruction Record must be created and approved prior to the document(s) being destroyed.

## 5.0 Standard Operating Procedure (SOP)

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

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

Examples of SOP are:

- “With Compliments” slips
- Telephone message slips
- Electronic mail messages or notes, which are not related to Council business
- Request for basic information such as maps or plans
- Working papers which may lead to a final report

Duplicated and superseded material such as stationery, manuals, drafts, forms, address books and reference copies of annual reports may also be destroyed under SOP. Electronic copies of documents where a hard copy has been printed and filed, and thermal paper facsimiles after making and filing a photocopy, are also covered.

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

## 6.0 Retention Guidance Heading

At Appendix 1 is the list of document retention schedules. The name of each function is specified at the top of each column.

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

At column 1, the section/area is given where these documents are most likely to be created.

At column 2 are listed function descriptions of the type of records maintained within the local authority with column 4 giving further examples. This list is not exhaustive.

At column 3, each entry's retention action is listed, this being either permanent or temporary. Permanent means that records are kept forever and will therefore be passed to a place of deposit such as Archives, temporary means any period of years but the record is not to be kept permanently

The final column indicates if the retention action is common practice or statutory.

# Appendix 1: Retention Guidelines

## Democratic Processes

Section/Area	Function Description	Retention Action	Example Records	Notes
<b>Elections</b>				
	Preparation  Summary certification of those eligible to vote	Permanent	Electoral Register	Common Practice
	Voting (Local Elections)	Destroy six months from close of poll	Ballot Papers	Statutory
	Results  Declaration of results (local elections)	Destroy six months from date of election	Consolidated returns of votes received	Statutory
<b>Council and Committee Meetings</b>				
	The process of preparing business for Council consideration and making the record of discussion, debate and resolutions	Six years	Council minutes  Council agendas and business papers  Reports	Common Practice
	Background information to reports	Four years	Supplemental information  Background information	Common Practice

**Partnership, Agency and External Meetings**

	<p>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.</p>	<p>Permanent</p>	<p>Documents establishing the committee.</p> <p>Agendas, Minutes</p> <p>Council Reports</p> <p>Recommendations</p> <p>Supporting documents such as Council briefing and discussion papers</p>	<p>Common Practice</p>
	<p>The process of preparing business for external committee's consideration and making the record of discussion, debate and resolutions, where the local authority does not own the record.</p>	<p>Destroy one year after last action</p>	<p>Documents establishing the committee.</p> <p>Council Reports</p> <p>Recommendations</p> <p>Supporting documents such as briefing and discussion papers.</p>	<p>Common Practice</p>

## Management and Administration

Corporate Planning and Reporting				
Section/Area	Function Description	Retention Action	Example Records	Notes
	The corporate planning and reporting activities of the Council	Permanent	Corporate Plans Strategy Plans Business Plans Annual Reports	Common Practice
	The process of preparing business for strategic consideration and making the record of discussion, debate and resolutions.	Permanent	SLB Minutes	Common Practice
Statutory Returns				
	The process of preparing information to be passed on to central government as part of statutory requirements.	Destroy 7 years from closure	Reports to central government	Common Practice
Policies, Procedures, Strategy and Procedure				
	Activities that develop policies, procedures, strategies and structures for the Council.	Permanent	Policy, procedure, precedent or instructions. Organisation charts. Records relating to policy	Common Practice



			<p>implementation and development.</p> <p>Asset Management Plan</p> <p>Community Strategy</p> <p>Community Plan</p> <p>Community Safety Plan</p>	
	The process of monitoring and reviewing strategic plans, policies or procedures to assess their compliance with guidelines	Destroy 5 years from closure.		Common Practice
<b>Public Consultation</b>				
	The process of consulting the public and staff in the development of significant policies of the Council.	Destroy 5 years from closure.		Common Practice
	The process of consulting the public and staff in the development of minor policies of the Council	Destroy 1 year from closure.		Common Practice
<b>Information Management</b>				
	The activity whereby standards, authorities, restraints and verifications are introduced and	Permanent	<p>Classification schemes</p> <p>Registers</p>	Common Practice

	maintained to manage information effectively.		Indexes Authorised list of file headings	
	The management of collections of records transferred to the archives	Permanent	Access registers Depositor Files	Common Practice
	The process that records the disposal of records	Destroy 12 years after last action.	Disposal Certificates	Common practice based on the Limitation Act
	FOI/SAR Requests	Destroy 3 years after last action		FOIA S46 Statutory
<b>Enquiries &amp; Complaints</b>				
	The management in summary form of enquiries and complaints directed to the Council	Destroy 6 years after administrative use is concluded.	Indexes Registers	Common Practice
	The management of enquiries, submissions and complaints, which result in significant changes to policy or procedure.	Destroy 6 years after administrative use is concluded.	Reports Returns Correspondence	Common Practice.  For complaints that radically alter policies or working practice these may be kept permanently.

	The management of detailed responses on council actions, policy or procedures.	Destroy 6 years after administrative use has concluded.	Reports Returns Correspondence Ombudsman	Common Practice
	The management of routine responses on council action, policy or procedures.	Destroy 2 years after administrative use has concluded.	Printed Material Form Letters	Common Practice
<b>Quality and Performance Management</b>				
	The process of monitoring or reviewing the quality, efficiency or performance of Council services and divisions.	Destroy 5 years from closure.	CPA Review Audit Commission	Common Practice
	The process of assessing the quality, efficiency or performance of Council services and divisions	Destroy 2 years from closure	Assessment Forms Internal Reviews	Common Practice
<b>Housing</b>				
	The registration of individuals housing applications	Permanent	Council housing register	Common Practice

	The process of applying for council housing (Unsuccessful applications only. Successful applications will generally be placed on a tenancy file.)	Destroy 7 years after closure	Application for transfer of tenancy and supporting papers.	Common Practice
	The process for managing the tenancy of an individual tenant.	Destroy 12 after termination of tenancy.	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 be kept for a longer period of time in order to prove that the tenant was housed properly.)
<b>Tenancy Agreements</b>				
	The process of awarding tenancies in welfare housing.	a. Ordinary Tenancy:  Destroy 6 years after the terms of agreement have expired.  b. Tenancy Under Seal:  Destroy 12 years after the terms of agreement have	Signed tenancy agreements.  Sealed tenancy agreements.	Statutory

		expired.		
<b>Housing Finances</b>				
	Mortgages	Last payment +6 years if signed. Last payment +12 years if sealed.	Mortgage agreements. Correspondence.	Statutory
	Right to Buy	Destroy 12 years after sale of house	Sale Documents Agreement concerning sale	Common Practice
	Rent Payment	Destroy 7 years after the end of the financial year in which it was created.	Rent books. Correspondence Concerning payment. Request for payment.	Statutory
	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 have been included archive permanently.	Agreement to pay loan.  Details of payments.  Correspondence relating to loan.	Statutory

## Legal and Contracts

Section/Area	Function Description	Retention Action	Examples of Records	Notes
<b>Litigation</b>				
	The process of managing, undertaking and defending against litigation on behalf of the Council.	Destroy 7 years after last action.	Criminal case files. Childcare case files. Civil case files. Correspondence	Common Practice. In the case of major litigation these may be archived.
<b>Advice</b>				
	The process of providing legal advice on a point of law.	Destroy 3 years after last action.	Concordat	Common Practice
<b>Agreements</b>				
	Process of changing ownership of land or property	Destroy 12 years after closure.	Conveyance files.	Statutory
<b>Conveyance</b>				
	The process of changing ownership of land or property.	Destroy 12 years after closure.	Conveyance files.	Statutory

Contract and Tendering				
	<p>Pre Contract Advice.</p> <p>The process of calling for expressions of interest.</p>	<p>Destroy 2 years after contract awarded or not proceeded with.</p>	<p>Expressions of Interest</p>	<p>Common Practice</p>
	<p>Specification and Contract Development.</p> <p>The process involved in the development and specification of a contract.</p>	<p>a. Ordinary Contracts: Destroy 6 years after the terms of contract have expired.</p> <p>b. Contracts Under Seal Destroy 12 years after the terms of contract have expired</p>	<p>Tender Specification</p>	<p>Statutory.</p> <p>Drafts leading to final versions of project files can be destroyed.</p>
	<p>Tendering Issuing and Return.</p> <p>The process involved in the issuing and return of a tender.</p>	<p>Destroy one year after start of contract</p>	<p>Opening notice</p> <p>Tender development</p>	<p>Common Practice</p>
	<p>Evaluation of Tender</p>	<p>a: Ordinary Contracts Destroy 6 years after terms of contract have expired.</p> <p>b: Contracts Under Seal: Destroy 12 years after terms of contract have expired.</p>	<p>Evaluation Criteria</p>	<p>Statutory</p>

	Successful Tender Document	<p>a: Ordinary Contracts</p> <p>Destroy 6 years after the terms of contract have expired</p> <p>b: Contracts Under Seal</p> <p>Destroy 12 years after the terms of contract have expired.</p>	<p>Tender documents</p> <p>Quotations</p>	Statutory
	Unsuccessful Tender Documents	Destroy 1 year after start of contract	<p>Tender documents</p> <p>Quotations</p>	Common Practice
	<p>Post-tender negotiation.</p> <p>Process of negotiation of a contract after a preferred tender is selected.</p>	Destroy 1 year after the terms of contract have expired.	<p>Clarification of contract.</p> <p>Post tender negotiation minutes.</p>	Common Practice
	<p>Awarding of contract.</p> <p>The process of awarding contracts.</p>	<p>a: Ordinary Contracts</p> <p>Destroy 6 years after the terms of contract have expired.</p> <p>b: Contracts Under Seal</p> <p>Destroy 12 years after the terms of contract have expired.</p>	Signed Contract	Statutory
	<p>Contract Management.</p> <p>Contract operation and monitoring</p>	Destroy 2 years after the terms of contract have expired.	<p>Service Level Agreements.</p> <p>Compliance Reports.</p> <p>Performance Reports.</p>	Common Practice.



	Management and amendment of contract.	<p>a: Ordinary Contracts: Destroy 6 years after the terms of contract have expired.</p> <p>b: Contracts Under Seal: Destroy 12 years after the terms of contract have expired.</p>	<p>Minutes and papers of meetings.</p> <p>Changes to requirements.</p> <p>Variation forms.</p> <p>Extension of contract.</p> <p>Complaints.</p> <p>Disputes on payment.</p>	Statutory
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### Human Resources

Section/Area	Function Description	Retention Action	Example Records	Notes
<b>Personnel Administration</b>				
	<p>Personnel administration.</p> <p>Summary management</p> <p>Systems that allow the</p> <p>Monitoring and management of employees in summary form.</p> <p>Information which should be retained:</p> <p>Name</p>	<p>Permanent</p> <p><b>Salary record:</b> Duration of employment</p> <p><b>Timesheets:</b> Current year +6</p> <p><b>Overpayments:</b> Current year + 6</p> <p><b>E1As:</b> Duration of employment + 6</p> <p><b>Payslips:</b> Current year + 6</p>	<p>Employment Register</p> <p>Permanent Staff.</p> <p>Employment Register Temporary Staff.</p> <p>Employment Register Casual Staff.</p> <p>Registers of personnel files.</p> <p>Personnel history cards</p>	Common Practice

	<p>DOB</p> <p>Date of Appointment</p> <p>Work history details</p> <p>Position/designation</p> <p>Titles and dates held</p>	<p><b>Flexitime:</b> Rolling 12-month period unless timekeeping is disputed.</p> <p>Salary verification and <b>Benefit Agency enquiries:</b> Rolling 6 months</p> <p><b>Flexi Adjustments:</b> Keep for 12 months from the date submitted.</p>	<p>Superannuation history cards.</p> <p>Salary master record.</p>	
	<p>The process of administering employees to ensure their entitlements and obligations are in accordance with agreed employment requirements</p>	<p>Destroy 6 years from date of last pension payment.</p> <p>From termination/cessation of employment plus 6 years.</p>	<p>Medical clearance.</p> <p>Letter of appointment.</p> <p>Letter of acceptance.</p> <p>Details of assigned duties.</p> <p>Probation reports.</p> <p>Medical examinations.</p>	<p>Common Practice</p>
	<p>Records containing superannuation information</p>	<p>Destroy 6 years from date of last pension payment.</p> <p>From termination/cessation of employment + 6 years.</p>	<p>Personnel particulars.</p> <p>Educational qualifications.</p> <p>Declaration of pecuniary interests.</p> <p>Secrecy undertakings.</p> <p>Employment contracts.</p>	<p>Statutory</p>

	Records relating to staff working with children.	Termination + 25 years		Statutory
	Leave	Termination + 6 years. Compassionate: 2 years from grant of leave TOIL: 2 years	Maternity/Paternity Compassionate Unpaid TOIL Sick Leave – Self-certification	Statutory
<b>Employee Relations</b>				
	Identification and development of significant decisions concerning industrial matters.	Permanent.	Generic agreements and awards. Negotiations Disputes Claims lodged	Common Practice
	Routine liaison for industrial matters	3 years after last action		Common Practice
	Processing of disciplinary and grievance investigations where proved.	Improvement note: 6 months Formal Written warning: 1 year Formal Final Warning: 18 months, unless determined longer. All of the above warnings to be	Disciplinary	Statutory

		removed and destroyed after the relevant time is "spent".  Warnings involving children kept permanently.		
	Processing of disciplinary and grievance investigations were unfounded.	Destroy immediately after the grievance has been proved to be unfounded or after appeal.	Disciplinary	Common Practice
<b>Equal Employment Opportunities</b>				
	The process of investigating and reporting on specific cases to ensure that entitlements and obligations are in accordance with agreed Equal Employment Opportunities guidelines and policies.	Destroy 5 years after action was completed		Common Practice
<b>Occupational Health</b>				
	The process of checking and ensuring the health of staff	Destroy 75 years after DOB	Health questionnaire Medical clearance Adjustment to work place Restrictions Recommendations	Common Practice

Health & Safety				
	<p>Inspections and Assessments.</p> <p>Process of inspecting equipment to ensure it is safe.</p>	Destroy 6 years from destruction of the equipment.	Equipment inspection records.	Statutory
	Process of carrying out monitoring to ensure that the process is safe.	Destroy 3 years from last action.	Monitoring results	Statutory
	Process of monitoring areas where employees and persons are likely to have come into contact with asbestos	Destroy 40 years from last action	Property asbestos file	Common Practice based on statutory guidance
	Process of monitoring areas where employees and persons are likely to have come in contact with radiation.	Destroy 50 years from last action or at age 75 – whichever is greater.	Radon Monitoring	Statutory
	Process to ensure safe systems of work.	Retain until superseded or process ceases + 1 year		Common Practice
	Process to assess the level of risk	Destroy 3 years from last assessment	Risk assessment	Statutory
	Processes that permit work	Destroy 1 years from last action		Common Practice

	Process that records injuries to adults	Destroy 3 years from closure	Accident Books	Statutory
	Process that records injuries to children.	Destroy 25 years from closure	Accident Books	Based on statute
<b>Recruitment</b>				
	The selection of an individual for an established position.	Destroy 1 year after recruitment has been finalised.	Advertisements Applications Referee reports Interview reports Unsuccessful applicants	Common Practice
	Staff Monitoring Performance	Destroy 5 years after action completed.	Probation reports Performance plans	Common Practice
	Process of monitoring staff leave and attendance	Destroy 2 years after action is completed.	Sick leave Jury service Study leave Special and personal leave Attendance books Flexitime sheets	Common Practice

			Leave applications Clock on/off cards Annual leave	
	Financial reward	Destroy 7 years after action completed		Common Practice
	Other strategy	Destroy 3 years after action completed.		Common Practice
	Termination. The process of termination of staff through voluntary redundancy, dismissal and retirement.	Destroy 6 years after termination. For pension payments records should be destroyed 6 years after last payment.	Resignation Redundancy (under section 188) Dismissal Retirement	Common Practice
	Training and development. Routine staff training processes, not occupational health & safety or child related.	Destroy 2 years after action completed.	Individual staff course assessments.	Common Practice.
	Training (child related).	Destroy 35 years after training completed or last entry.	Course individual staff assessment. Training Registers	Common Practice

	Training (occupational health and safety training)	<p>Destroy 50 years after training is completed.</p> <p>Individual course assessment records should be destroyed once the training has been renewed every three years.</p>	OH&S Training Register	Common Practice
	Training (material)	Destroy 1 year after course is superseded		Common Practice
	Training (proof of completion)	Destroy 7 years after action is completed.	<p>Certificates</p> <p>Awards</p> <p>Exam Results</p>	Common Practice
<b>Appointments of Statutory Officers</b>				
	Summary management systems that allow the monitoring and management of statutory officers in summary form	<p>Permanent.</p> <p>Archive once administrative use has concluded.</p>	<p>Monitoring Officer</p> <p>Files/Registers</p>	Common Practice
	The process of administering employees to ensure their entitlements and obligations are in accordance with agreed employment requirements.	Destroy 6 years after departure from employment		Common Practice



**Accounts & Audit**

	<p>Reporting.</p> <p>The process that consolidates financial transaction on an annual basis for corporate reporting purposes.</p>	<p>Permanent.</p> <p>Archive once administrative use has concluded.</p>	<p>Consolidated annual reports.</p> <p>Consolidated financial statements.</p> <p>Statement of financial position.</p> <p>Operating statements.</p> <p>General ledger.</p>	<p>Common Practice.</p>
	<p>The process that supports and consolidates financial transactions on a periodic (less than annual) basis, superseding those from the previous round.</p>	<p>Destroy when administrative use has concluded.</p>	<p>Consolidated monthly and quarterly reports.</p> <p>Consolidated monthly and quarterly financial statements.</p> <p>Working papers for the preparation of the above.</p> <p>Monthly accrual statements.</p> <p>Creditor listings and reports.</p> <p>Debtor listings and reports.</p>	<p>Common Practice</p>

Financial Transactions Management				
	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.	<p>Appointments and delegations.</p> <p>Audit investigations.</p> <p>Arrangements for the provision of goods and/or services.</p>	Statutory
	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.	<p>Allowances</p> <p>Work orders</p> <p>Invoices</p> <p>Credit card statements</p> <p>Cash books</p> <p>Receipts</p> <p>Cheque counterfoils</p> <p>Bank statements</p> <p>Subsidiary ledgers (annual)</p> <p>Journals (annual)</p> <p>Vouchers</p>	Statutory

	Process involving the provision and support for individuals using public transportation.	Destroy 6 years after the conclusion of the financial transaction that the record supports.	Applications Card issue Rail warrants	Statutory
	Processes that balance and reconcile financial accounts	Destroy 2 years after administrative use has concluded.	Reconciliation Summaries of accounts	Statutory
	Taxation Records	Destroy 5 years after the end of the financial year in which the records were created.	Taxation records Motor vehicle logs Group certificates	Statutory
	Process involved in the collection of National Insurance number	Destroy 2 years after the employee ceases employment.	Notification & Input records	Common Practice
<b>Payroll</b>				
	Accountable processes relating to payment of employees	Destroy 7 years after the conclusion of the financial transaction that the record supports.	Authority sheets Payroll deduction authorities Payroll disbursements Employee pay records Employee taxation records	Statutory

	Non-accountable processes relating to payment of employees	Destroy after administrative use has concluded.	Summary of employees pay reports.	Common Practice
<b>Financial Provisions</b>				
	Budgets and Estimates (the process of the Annual Budget)	Permanent. Archive once administrative use has concluded.	Annual Budget	Common Practice. Only final version needs to be kept.
	The process of developing the annual budget.	Destroy 2 years after annual budget is adopted by the Council.	Draft budgets Departmental budgets Draft estimates	Common Practice
	The process of reporting which examines the budget in relation to actual revenue and expenditure.	Destroy after next year's annual budget has been adopted.	Quarterly statements	Common Practice
<b>Loans</b>				
	The activity of borrowing money to enable the Council to perform its functions and exercise its powers.	Destroy 7 years after the loan has been repaid.	Loan files	Statutory

	Summary management of loans	Permanent	Loan registers	Common Practice
<b>Council Tax Valuations</b>				
	The valuation of rateable land within a municipal district for the purpose of making rates	Permanent. Archive once administrative use has concluded.	Valuation lists	Common Practice
	The valuation of rateable land within a municipal district for the purpose of making rates.	Destroy 10 years after the year in which the valuation was made.	Correspondence Objections Reports	Common Practice
<b>Property History</b>				
	Information for rateable properties identifying the person/company rated, including the value of the property.	Permanent	Rate Books Rate Cards Register of rateable properties.	Common Practice
<b>Rates and Local Authority Tax Correspondence</b>				
Council Tax	The activity of corresponding with ratepayers in relation to valuations, rates and charges, objections, submissions, appeals, rate remissions and rates related matters.	Destroy 7 years after last action.	Notices Objections Applications Correspondence Rate certificates	Common Practice

			Notices of acquisition and disposition. Rate property files.	
<b>Summary Assets Management</b>				
	Summary management reporting on the overall assets of the Council.	Permanent. Archived one administrative use has concluded.	Schedules of acquisitions. Consolidated current asset reports. Annual reports. Summary of current assets. Asset registers.	Common Practice
<b>Asset Monitoring and Maintenance</b>				
	Management systems that allow the monitoring and management of assets in summary form.	Destroy 7 years after the conclusion of the financial transaction that the record supports.	Subsidiary asset registers.	Common Practice
	Process of reporting and reviewing asset status	Destroy 2 years after administrative use has concluded.	Routine returns and reports on asset status. Inventories Stocktaking Surveys of usage. Acquisition and disposal	Common Practice

			reports and proposals.	
	The process of maintaining assets	Destroy 7 years after last action.	Garden maintenance Cleaning Painting	Common Practice
	The process of maintaining plant and plant equipment	Destroy 7 years after sale of disposal of asset.	Service records Plant files	Common Practice
<b>Asset Acquisition and Disposal</b>				
	Management of the acquisition (by financial lease or purchase) and disposal (by sale or write off) process for assets	Destroy after 6 years if less than £50,000.  Destroy after 12 years if over £50,000, of after all obligations/entitlements are concluded.	Legal documents relating to the purchase/sale.  Particulars of sale documents.  Board of survey.  Leases  Application for leases, licenses and rental revision.  Tender documents.  Conditions of contracts.  Certificates of approval.	Statutory

<b>Insurance</b>				
	Policy Management. The summary management of insurance arrangements.	Permanent. Archive once administrative use has concluded.	Insurance register	Common Practice
	The process of insuring Council officers, property, vehicles and equipment against negligence, loss or damage.	Destroy 7 years after the terms of the policy have expired.	Insurance policies Correspondence	Statutory
	The process of renewing insurance policies	Destroy 7 years after the insurance policy has been renewed.	Insurance policy renewal records. Correspondence	Common Practice
<b>Claims Management</b>				
	The process that records insurance claims against the Council or Council officers.	Destroy 6 years after all obligations/entitlements are concluded.	Claims records Correspondence	Statutory



## Property and Land Management

Section/Area	Function Description	Retention Action	Example Records	Notes
<b>Property and Land Management</b>				
	Reports to management on the overall property of the Council.	Permanent.  Archive once administrative use has concluded.	Consolidated property and buildings annual report.  Summary of leased property.  Summary of local authority's owned property.  Site register.  Register of leases.	Common Practice
<b>Property Acquisition and Disposal</b>				
	Management of the acquisition (by financial lease of purchase) process for real property.	Retain for life of property plus 12 years.  Offer material re major/significant properties for archive.	Plans	Common Practice
	Management of the disposal (by sale or write off) process for real property.	Destroy 15 years after all obligations/entitlements are concluded.	Legal documents relating to the sale.  Particulars of sale documents.  Board survey.	Common Practice

			Tender documents. Conditions of contracts.	
<b>Property Development and Renovation</b>				
	Management – buildings and estates of special interest.	Permanent. Archive once administrative use has concluded.	Project specifications Plans Installation manuals Certificates of approval	Common Practice
	Management – all other buildings and estates.	Retain for the life of the property or building.	Project specifications Plans Installation manuals Certificates of approval	Common Practice
	The action process involved in the development and renovation of property.	Destroy 7 years after the conclusion of the transaction that the record supports.	Work orders. Tender documents. Conditions of contracts.	Common Practice
<b>Leasing and Occupancy</b>				
	The process of managing leased property.	Destroy 15 years after the expiry of the lease.	Lease agreements. Rental expenditure authorities. Valuation queries.	Common Practice

			Applications for leases, licenses and rental revision.	
	The process of managing the occupancy of the property	Destroy 7 years after the conclusion of the transaction that the record supports.	Request for works cleaning, etc.	Common Practice
<b>Systems Management</b>				
	The internal process to develop or extend the capabilities of a system used to support the activities of the local authority.	Retain for the life of the system then destroy.		Statutory
	The process to implement a system used to support the activities of the Council.	Destroy 7 years after last action.	Implementation plan	Statutory
	The process to support and administer a system used to support the activities of the Council.	Destroy 5 years after last action.		Statutory

### General Public Services

Section/Area	Function Description	Retention Action	Example Records	Notes
<b>Emergency Planning</b>				
	Process to develop the emergency/disaster plan for the local community.	Permanent. Archive once administrative use has concluded.	Major Incident Plan	Common Practice
	Process of recording the results of the test for emergency/disaster plan for the local community.	Destroy 7 years after closure.		Common Practice
<b>Major Incident</b>				
	Activities that report on all major incidents in the local community, whether emergency plan has been invoked or not	Permanent. Archive one administrative use has concluded.		Common Practice
	Activities that report on all minor incidents in the local community.	Destroy 7 years after closure.		Common Practice
<b>Registration, Certification and Licensing</b>				
	The administration of applications, registrations, certificates and licenses in relation to the Council's	Destroy 2 years after registration or entitlement lapses.	Applications for animal registration. Application for registration	Statutory. Licences of children's entertainment may be archived or kept for a longer

	registration requirements.		<p>of a business premises.</p> <p>Applications for release of impounded animals.</p> <p>Registers</p> <p>Certificates for registration of:</p> <ul style="list-style-type: none"> <li>- Door Supervisors</li> <li>- Taxi drivers</li> <li>- Beauty therapists</li> </ul> <p>Animal movement licences.</p> <p>Gaming.</p> <p>Fire certification.</p> <p>Disabled parking permits.</p> <p>Blue badge.</p> <p>Registration to sell poison.</p>	specified time.
	The process involved in licensing sites for the holding or use of toxic or hazardous substances (including petroleum, agricultural chemicals and products of herbicides).	<p>Permanent.</p> <p>Archive 60 years after registration or entitlement lapses.</p>	<p>Diesel licences.</p> <p>Petroleum licences.</p> <p>Health and safety licensing.</p> <p>Hazardous substances.</p> <p>Containment land</p>	Common Practice

			register/pollution.	
	<p>Notification.</p> <p>The process of issuing notices to citizens with respect to particular responsibilities.</p>	<p>Destroy 2 years after the matter is concluded.</p>	<p>Fire prevention notices.</p> <p>Fire prevention infringement notices.</p> <p>Objections to and appeals against notices.</p> <p>Registration of premises infringement notices.</p> <p>Animal impounding notices.</p>	<p>Common Practice</p>
<b>Investigation, Inspection and Monitoring</b>				
	<p>The process of investigation, monitoring or inspection laws with the responsibility of the Council.</p>	<p>Destroy 7 years from last action.</p>	<p>Fire certificate compliance inspections.</p> <p>Environmental health inspections.</p>	<p>Common Practice</p>
<b>Prosecution</b>				
	<p>The process of prosecution or sanction of an individual or organisation for failing to comply with their legal responsibilities.</p>	<p>Destroy 7 years from last action.</p>	<p>Prosecution/sanction files.</p>	<p>Common Practice.</p>
<b>Bye-Laws</b>				
	<p>Enactment.</p> <p>The process of making local</p>	<p>Permanent.</p> <p>Archive once administrative</p>	<p>Master set of byelaws.</p> <p>Policy development</p>	<p>Common Practice</p>

	laws.	use has concluded.	documents. Correspondence Submissions	
	Administration and enforcement.  The process of administering and enforcing byelaws	Destroy 2 years after certificate has expired, penalty payment has been made, the matter has been finished or correspondence on the matter has ceased.	Applications and certificates. Permits Licences Infringement notices. Correspondence	Common Practice
<b>Waste Management</b>				
	The process of arranging the collection or transportation of trade waste	Destroy 3 years after last action.		Common Practice
	The process of arranging the collection or transportation of household waste.	Destroy 3 years after last action.		Common Practice
	The process of arranging the collection or transportation of controlled waste and abandoned vehicles.	Destroy 6 years after last action.		Common Practice

<b>Disposal of Waste</b>				
	The summary management of sites used for the disposal of waste within the local authority.	Permanent Archive once administrative use has concluded.		Common Practice
	The process of the short term storage of household waste.	Destroy 10 years after site closure.	Transfer sites.	Common Practice
	The process involved in managing the use, type and amount of waste to be disposed at a specific site.	Permanent Archive once administrative use has concluded.	Waste site plans	Common Practice

### **Planning and Land Use**

<b>Section/Area</b>	<b>Function Description</b>	<b>Retention Action</b>	<b>Example Records</b>	<b>Notes</b>
<b>Planning Scheme Development and Amendment</b>				
	The activity of developing a vision and strategic directions regarding existing and future land use within the Council.	Permanent Archive once plan is superseded.	Structure plan. Local plan. Town centre plans. Unitary development plans	Common Practice
	The activity of consultation to gain approval for the Structure Plan (unitary	Permanent	Consultation documents and replies.	Common Practice



	development plans) or Local Plans.	Archive after 3 years	Inquiries and objections made by members of the public.  Public Inquiry documents	
	The activity of recording information on historical buildings, monuments and ecology at a specific site.	Permanent  Archive once administrative use has concluded.	Sites and Monuments records.  Ecological records.  Species records.  Historically listed buildings.  Definitive map.  Commons registration.	Common Practice
	The activity of establishing planning scheme controls and providing for them to be amended.	Permanent  Archive once administrative use has concluded.	Successful waste planning applications.  Successful mineral planning applications.  Amendments to definitive map.  Mineral register.  Applications for mineral extraction.  Land use surveys.	Common Practice

	The process of receiving, considering and responding to submissions and objections to planning schemes and amendments.	Destroy 15 years after decisions.  Controversial/high profile schemes may be archived.	Waste planning application consultation.  Mineral planning applications consultation.  Objections  Inquiries – public etc.  Archaeological – advice/conditions.	Common Practice
	The process of controlling development of areas through applications for planning permission	Transfer planning applications register to archive once the register has been completed (or at regular intervals if it is held electronically).	Application files and plans.  Correspondence relating to any objections.  Hearing papers.  Planning application register.	Common Practice
	The process of maintaining the countryside and developing open spaces for public amenity.	Policy files archive.  Other files destroy 7 years after administrative use has concluded.	Tree Preservation Orders.  Country parks and nature reserves development plans and correspondence.  Land purchase agreements.	Common Practice
<b>Planning Scheme Regulation</b>				
	The summary management of planning scheme regulations.	Permanent  Archive once administrative use has concluded	Building Control Registers	Common Practice

	Process of regulating the planned use of land or buildings.	Destroy 15 years after closure.		Common Practice
	The process of approving building applications in relation to listed or other significant buildings.	Permanent Archive once administrative use has concluded.	Building files Plans Specifications Correspondence Applications Permits Certificates	Common Practice
	The process of approving building applications for all other buildings.	Destroy 10 years after construction completed.	Building files Plans Specifications Correspondence Applications Permits Certificates Objections	Common Practice

	The process of inspecting building work for the purpose of ensuring compliance.	Destroy 10 years after the issuance of certificate of final inspection.	Certificate of final inspection. Building inspection records. Diaries	Common Practice
	The process of enforcing building or land regulations	Destroy 6 years after compliance with enforcement notice.	Enforcement Notice	Statutory
<b>Planning and Development</b>				
	The activity of developing a vision and strategic directions regarding existing transport and infrastructure within the area.	Permanent Archive once administrative use has concluded.	Structure Plan. Local transport Plan.	Common Practice
	The activity of recording location of highways, bridle paths and rights of way	Permanent Archive once administrative use has concluded.	Definitive map. Correspondence Concerning enquiries and disputes.	Common Practice
	The activity of establishing planning scheme controls and providing for them to be amended and modified.	Permanent Archive once administrative use has concluded.	Amendments to definitive map. Road adoption	Common Practice

	The process of receiving, considering and responding to submissions and objections to planning scheme and amendments.	Destroy 7 years after decision.  High profile cases can be archived.	Enquiries, consultation documents, objections and correspondence.	Common Practice
	The process of enforcing infrastructure and transport regulations	Destroy 50 years after enforcement notice.  Or destroy 3 years after compliance with enforcement notice.		Common Practice

### Infrastructure and Transport

Section/Area	Function Description	Retention Action	Example Records	Notes
<b>Infrastructure Management and Maintenance</b>				
	The activity of providing municipal services in relation to infrastructure within the Council.	Destroy 7 years after last action.	Street files.  Street records.  Requests for: <ul style="list-style-type: none"> <li>- hedge clipping</li> <li>- tree planting</li> <li>- naming of streets</li> <li>- numbering of houses</li> </ul>	Common Practice

			<ul style="list-style-type: none"> <li>- street load limits</li> <li>- street signs</li> <li>- bus shelters</li> <li>- applications to dig up pavements</li> <li>- HGV applications</li> <li>- advice/comment</li> <li>- level crossings</li> <li>- rights of way</li> <li>- roundabouts</li> <li>- traffic calming measures</li> <li>- street lighting</li> </ul>	
<b>Public Relations</b>				
	<p>Publications</p> <p>The process of designing or setting information for publication.</p>	<p>Destroy 3 years from last action.</p>		<p>Common Practice</p>
	<p>The published work of the local authority</p>	<p>Destroy after administrative use is concluded.</p> <p>One copy should go directly to the publications library.</p>		<p>Common Practice</p>

	Media Relations. Process of interaction with the media.	Destroy 3 years from closure.		Common Practice
	Media publications concerning local authority.	Destroy 3 years from closure.	Press cuttings. Media reports.	Common Practice
	Marketing The process of developing and promoting local authority's campaigns and events.	Destroy 3 years from closure.		Common Practice
	Civic and royal events. The recording of ceremonial events and civic occasions.	Permanent	Visitor's book. Photographs Videos	Common Practice
	The process of organising a ceremonial event or civic occasions	Destroy 7 years after administrative use has concluded.		Common Practice

### Internal Audit

Section/Area	Function Description	Retention Action	Example Records	Notes
<b>Internal Audit Reports</b>				
	Audit reports	6 years	Includes interim reports where they have included the examination of long-term contracts.	Statutory
	Report papers	5 years after legal proceedings have been completed.	Papers used in the course of a fraud investigation.	Statutory
	Any other reports	3 years		Statutory
<b>Undertakings</b>				
	Terms of reference	3 years		Statutory
	Programmes/plans/strategies	When supersede or 1 year after the last date of the plan.		Statutory
	Correspondence	3 years		Statutory
	Minutes of meetings.	3 years	Minutes and related papers including those of the Audit Committee.	Statutory



	Working papers	3 years		Statutory
<b>Other Records</b>				
	Internal Audit Guides	When superseded		Statutory
	Manual and guides relating to departmental procedures.	When superseded		Statutory
	Local auditing standards.	When superseded		Statutory
	Annual reports to Accounting Officers	3 years		Statutory

### Project Records

Section/Area	Function Description	Retention Action	Example Records	Notes
<b>Project Start Up</b>				
	Project proposals	10 years for approved projects. 5 years for rejected projects.	Include those, which have to be approved, rejected or deferred.	Common Practice
	Project initiation documents	10 years after completion of the project	PIDs Business cases. Supplementary information	Common Practice
	Feasibility studies	10 years after issue.	Reports	Common Practice

		2 years after date of the last paper.	Working papers.	
	Plans and Specifications	10 years after project completion	Operational requirements. Technical requirements.	Common Practice
<b>Contractors</b>				
	Contractors Approved nominations Rejected nominations Removals/suspensions	1 year after issue  6 years after the end of the project		Common Practice
<b>Project Management</b>				
	Tender Boards	5 years	Minutes	Common Practice
	Maps/Plans/Drawings/Photographs	10 years after project completion		Major projects may be kept permanently
	Project boards	5 years	Minutes Correspondence	Common Practice
	Reports	5 years	Stage assessments. Reviews GANTT charts.	For major projects keep permanently.

## Appendix 2: Document Destruction Record

Type of Record	File/Record Name	Format	Brief Description of Documents	Department	Date Record Created	Date Record Destroyed

### Example Entries

Type of Record: Invoice/Application Form/Letter  
 File Name: Grant Applications 1970/71 or 7b Acacia Avenue or 3b/Applications/1978  
 Format: Paper/Microfiche/Electronic  
 Brief Description: Application for housing grant

Signed: ..... Officer

Signed: ..... Head of Service Area

Signed: ..... Head of Law and Governance

**No document shall be destroyed without all 3 officers agreeing and signing this destruction register. Where unsure, legal advice should be sought.**