



Data Protection &
Freedom of Information

RETENTION AND DISPOSAL SCHEDULE GUIDELINES

A guide to the administrative functions that are commonly undertaken by Dartford Borough Council

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Retention and Disposal Schedule Guidelines for Dartford Borough Council

1. Explanation of Headings

These Retention and Disposal Schedule Guidelines are divided into sections of administrative functions that are undertaken by **Dartford Borough Council**.

Reference Number

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

Function

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

Function Description

Schedule 2 provides notes that define each function in terms of related activities.

Schedule 2 may also include instructions or guidelines relating to weeding, sampling disposition provisions, information on duplication of record content in other classes and cross-references to other entries within Schedule 2.

Retention Action

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

Examples of Records

This section provides common examples of the type of records included within the particular function and 'records' is any recorded information regardless of medium (paper, microfilm, electronic, audio-visual, copies of publications etc.) which are created, collected, processed, used, stored and/or disposed of by the Council, its employees and any other person/body/organisation acting for or on behalf of the Council as its agent.

Notes

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

Glossary of terms

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

Archivist: Officer appointed by Departments of the Council to administer their records management functions.

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 local Departmental policies. Any closure period should comply with current legislation on access to local government information - including the Data Protection Act 1998 and Freedom of Information Act 2000.

Common Practice: Standard practice followed by Departments of the Council.

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

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

Place of Deposit: Usually, Departments' archives.

2. Introduction

1. These Retention and Disposal Schedule Guidelines (the RDS) supports **Dartford Borough Council** in the areas of data protection, freedom of information and access to local government information.
2. These RDS are intended to cover the continuum of records and information from creation through to destruction or for retention for historical or research purposes.
3. Records sentenced for destruction may be destroyed in accordance with the provisions of these RDS. Back up copies stored on alternative media (server/microfilm/paper) should also be destroyed. This is vital to ensure compliance with requirements of Data Protection and Freedom of Information legislation.
4. Records for permanent preservation should be passed to the Department's nominated Archivist or the Department's place of deposit.

3. Objectives of these RDS

The aims of these RDS are to;

- (a) assist in identifying records that may be worth preserving permanently as part of Council/Departments' archives;
- (b) 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;
- (c) provide consistency for the destruction of those records not required permanently after specified periods;
- (d) promote improved records management practices within the Council.
- (e) The Data Protection Act 1998 provides an exemption for information about identifiable living individuals (held for research, statistical or historical purposes), to be held indefinitely, provided specific requirements are met. It is the responsibility of Archivists to ensure that this is so.

(f) **Records identified in Schedule 2 to these RDS as "permanent" are marked "Offer to Archivist"**

Archivists may choose to select a sample of the records for permanent preservation in the archives; the remainder should be destroyed as specified in these RDS. The sample may be random, selective or purposeful.

(g) **Offer to Archivist for review"**

This term is used to indicate record classes where Archivists will not usually be interested in retaining the class records, but may wish to retain those concerning high profile or controversial policies/projects.

- (h) Records no longer required for administrative use may still contain sensitive information. Archivists should be informed of sensitivity at the time of transfer of the material to the archives and an appropriate closure period agreed.

4. Destruction of Records

Whenever there is a 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.

When records identified for disposal in these RDS are destroyed, a register of such records needs to be kept. For records not covered by these RDS, contact the Freedom of Information Officer 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.

5. Retention Periods

In determining retention periods, Archivists must take into consideration that data may also fall within the definition of 'background papers' i.e. documents which have been relied upon in preparing a report to Cabinet etc. and that these background papers must be available for inspection until four years after the date of the meeting which considered the report. Excluded from the definition of 'background papers' are published works such as HMSO publications and most government departmental circulars and documents which disclose confidential or exempt information (refer to Standing Order 49 for further details).

6. Standard Operating Procedure (SOP)

The Standard Operating Procedure (SOP) set out in Schedule 1 to these RDS applies to information that is duplicated, unimportant or only of short-term facilitative value. These records do not need to be kept at all and may be routinely destroyed in the normal course of business.

The SOP should not be applied to records or information that can be used as evidence – to prove something happened. If in doubt, consult with the Freedom of Information Officer.

7. Records Management Policy

Staff must abide by Departmental written procedures/works instructions relating to records management.

8. Reviewing these RDS

These RDS prescribe minimum and permanent retention periods. These RDS will be reviewed at regular intervals.

9. Authorisation of these RDS

These Retention and Disposal Schedule Guidelines have been authorised by:

Managing Director

Date: 1 April 2006

SCHEDULE 1

STANDARD OPERATING PROCEDURE (SOP)

UNIMPORTANT MATERIAL
'with compliment' slips
Catalogues
Trade Journals
Telephone message slips
Non-acceptance of invitations
Trivial electronic messages or notes that are not related to Council business
Requests for stock information such as maps, plans or advertising material
Out -of- date distribution lists
Working (draft) papers which lead to a final report/policy etc
DUPLICATED/SUPERSEDED MATERIAL
Stationery
Manuals
Drafts
Forms
Address Books
Reference copies of Annual Reports
Diaries
ELECTRONIC
Electronic copies of documents where a hard copy has been printed and filed
FACSIMILES
Thermal paper facsimiles after making and filing a photocopy

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Planning and Development

Traffic Management

Design and Construction

Infrastructure Management and Maintenance

Road Maintenance

SCHEDULE 2

DEMOCRATIC PROCESSES

Ref No.	Function Description	Retention Action	Examples of Records	Notes
Elections (an ERO function)				
Preparation				
1.1	Summary certification of those eligible to vote	15 years. Offer to Archivist. after administrative use is concluded	<ul style="list-style-type: none"> Electoral Register 	Statutory
1.2	Voting (local elections only)	Destroy 6 months from close of poll	<ul style="list-style-type: none"> Ballot papers 	Statutory
Results				
1.3	Declaration of results (local elections only)	Permanent. Offer to Archivist. Destroy supporting 6 months from date of election	<ul style="list-style-type: none"> Declaration sheets read out by Returning Officer at Count 	Statutory and Common Practice
Council and Committee Meetings				
1.4	The process of preparing business for Council consideration and making the record of discussion, debate and resolutions	<p>(Minutes) Permanent. Offer to Archivist.</p> <p>(Agendas, kalamazoos and other documents) Transfer to place of deposit. Destroy 6 years after date of meeting</p>	<ul style="list-style-type: none"> Council minutes Council agenda and business papers Council notice papers and proceedings Indexes Committee minutes Terms of Reference Scheme of Delegations to Officers 	Statutory and Common Practice

SCHEDULE 2

DEMOCRATIC PROCESSES

Ref No.	Function Description	Retention Action	Examples of Records	Notes
1.5	Minute Taking Committee Administrator notes	Destroyed following confirmation of the minutes	<ul style="list-style-type: none"> Draft/rough minutes Audio tapes 	Common Practice
Councillors Register of Interests				
1.6	The process of managing ex-Members' register of interests (Borough and Parish/Town)	Destroy 18 months after ceasing to be a councillor	<ul style="list-style-type: none"> Register of Interests (ex-Members) 	Common Practice and Ethical Standards Officer/Monitoring Officer Investigations
Councillors – Complaints under the Member Code of Conduct				
1.7	The process of managing complaints against Borough Councillors, Parish/Town Councillors and Co-opted Members	Destroy 4 years after outcome of hearing or result of further action	<ul style="list-style-type: none"> Investigation reports Standards Committee/Sub-committees/SBE reports/decisions Adjudication Panel decisions Register of Member Complaints 	Common Practice and Ethical Standards Officer/Monitoring Officer Investigations
	Assessment Sub-committee decisions not to investigate	Destroy 12 months after the outcome on any review	<ul style="list-style-type: none"> Assessment Sub-committee decisions not to investigate and associated documents 	Common Practice SBE guidance
Partnership, Agency and External Meetings				
1.8	The process of preparing business for partnership and agencies consideration and making the record of discussion, debate and resolutions, where the Council legally owns the	Destroy 6 years after last action	<ul style="list-style-type: none"> Documents establishing the committee Agendas Minutes Council reports 	Common Practice

SCHEDULE 2

DEMOCRATIC PROCESSES

Ref No.	Function Description	Retention Action	Examples of Records	Notes
	record		<ul style="list-style-type: none"> • Recommendations • Supporting documents such as Council briefing and discussion papers 	
1.9	The process of preparing business for external committees' consideration, and making the record of discussion, debate and resolutions, where the Council does not own the record	Destroy 3 years after last action	<ul style="list-style-type: none"> • Documents establishing the committee • Reports • Recommendations • Supporting documents such as briefing and discussion papers. 	Common Practice
	Political Parties Papers			
	The process of undertaking representation of the Council - Council representatives	Destroy 3 years after last action	<ul style="list-style-type: none"> • Leader of Opposition papers • Leader of Council papers 	Common Practice

SCHEDULE 2

MANAGEMENT and ADMINISTRATION

Ref No.	Function Description	Retention Action	Examples of Records	Notes
Corporate Planning and Reporting				
2.1	The corporate planning and reporting activities of the Council	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Corporate Plans • Strategy Plans • Business Plans • Annual Reports 	Common Practice
2.2	The process of preparing business for strategic consideration and making the record of discussion, debate and resolutions	Destroy 1 year from creation	<ul style="list-style-type: none"> • Management Team minutes 	Common Practice
2.3	The process of preparing business for cross Departmental consideration and making the record of discussion, debate and resolutions	Destroy 1 year from creation	<ul style="list-style-type: none"> • Departmental Team minutes 	Common Practice
Statutory Returns				
2.4	The process of preparing information to be passed on to central government as part of statutory requirements	Destroy 6 years from closure	<ul style="list-style-type: none"> • Reports to central government 	Common Practice

SCHEDULE 2

MANAGEMENT and ADMINISTRATION

Ref No.	Function Description	Retention Action	Examples of Records	Notes
Policy, Procedures, Strategy and Structure				
2.5	Activities that develop policies, procedures, strategies and structures for the Council	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Policy, procedure, precedent, instructions • Organisation charts • Records relating to policy implementation and development • Asset Management Plan • Community Strategy • Community Plan • Community Safety Plan 	Common Practice
2.6	The process of monitoring and reviewing strategic plans, policies or procedure to assess their compliance with guidelines	Destroy 2 years from closure		Common Practice
Public Consultation				
2.7	The process of consulting the public and staff in the development of significant policies of the Council	Destroy 2 years from closure	<ul style="list-style-type: none"> • Surveys • Statistics 	Common Practice
2.8	The process of consulting the public and staff in the development of minor policies of the Council	Destroy 1 year from closure		Common Practice

SCHEDULE 2

MANAGEMENT and ADMINISTRATION

Ref No.	Function Description	Retention Action	Examples of Records	Notes
Information Management				
2.9	The activity whereby standards, authorities, restraints and verifications are introduced and maintained to manage information effectively	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Classification Schemes • Registers • Indexes • Authorised lists of file headings 	Common Practice
2.10	The management of collections of records transferred to the archives	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Accession Registers • Depositor files 	Common Practice
2.11	The process that records the disposal of records	Destroy 12 years after last action	<ul style="list-style-type: none"> • Disposal Certificates 	Common Practice based on Limitation Act
CCTV				
2.12	The process of managing CCTV images	Destroy after 31 days of recording unless required for evidential purposes	<ul style="list-style-type: none"> • Tapes 	Common Practice and CCTV Code of Practice
Concessionary Fares				
2.13	The process of managing concessionary fares	Destroy 6 years after date of application	<ul style="list-style-type: none"> • Computerised records 	Common Practice

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MANAGEMENT and ADMINISTRATION

Ref No.	Function Description	Retention Action	Examples of Records	Notes
	Correspondence			
2.14	The process of managing correspondence (paper and electronic medium)	Destroy 1 year after creation (unless otherwise stated in these RDS)	<ul style="list-style-type: none"> Letters, memos, notes etc of a routine nature 	Common Practice
	Data Protection			
	Criminal Records Bureau (CRB)			
2.15	Disclosures and records of Disclosure Information	Destroy 6 months after the date on which the recruitment or other relevant decisions have been taken, or after the date on which any dispute about the accuracy of the Disclosure Information has been resolved		Code of Practice for Registered Persons and other Recipients of Disclosure Information
	Data Matching			
2.16	Process involving data matching	Destroy 6 years after action		Common Practice
	Images of Individuals			
2.17	The process of managing images of	In accordance with the	<ul style="list-style-type: none"> Photos 	Guidelines for Officers

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MANAGEMENT and ADMINISTRATION

Ref No.	Function Description	Retention Action	Examples of Records	Notes
	individuals	consent granted by the individual	<ul style="list-style-type: none"> • Slides • Posters 	on the Use of Photographic Material
	P V List			
2.18	The process of managing the potentially violent persons list	Update every 6 months	<ul style="list-style-type: none"> • P V List 	Staff Safety
	Freedom of Information			
	Requests Approved			
2.19	The process of acceding to an application for information	Destroy 1 year after last action	<ul style="list-style-type: none"> • Application • Correspondence • Decision 	Common Practice and Information Commissioner
		Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Indexes • Registers 	Common Practice
	Requests Refused			
2.20	The process of managing a refusal for information	Destroy after limitation period for complaints/litigation proceedings expired otherwise destroy 1 year	<ul style="list-style-type: none"> • Application • Refusal Notice • Correspondence • Emails 	Common Practice and Information Commissioner

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MANAGEMENT and ADMINISTRATION

Ref No.	Function Description	Retention Action	Examples of Records	Notes
		after date of refusal		
		Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Indexes • Registers 	Common Practice
	Enquiries and Complaints			
2.21	The management in summary form of enquiries and complaints directed to the Council	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Indexes • Registers • Annual reports 	Common Practice
		Destroy 2 years after last action	<ul style="list-style-type: none"> • Correspondence • Decision 	Common Practice and Ombudsman
2.22	The management of enquiries, submissions and complaints which result in significant changes to policy or procedures	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Reports • Returns 	Common Practice
2.23	The management of detailed responses on Council actions, policy	Destroy 3 years after administrative use is	<ul style="list-style-type: none"> • Reports • Returns 	Common Practice

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MANAGEMENT and ADMINISTRATION

Ref No.	Function Description	Retention Action	Examples of Records	Notes
	or procedures	concluded	<ul style="list-style-type: none"> • Correspondence • Ombudsman 	
2.24	The management of routine responses on Council actions, policy or procedures Quality and Performance Management	Destroy 2 years after administrative use is concluded	<ul style="list-style-type: none"> • Printed material • Form letters 	Common Practice
2.25	The process of monitoring or reviewing the quality, efficiency, or performance of a the Council service or Department	Destroy 5 years from closure	<ul style="list-style-type: none"> • Best Value Review • CPA 	Common Practice
2.26	The process of assessing the quality, efficiency, or performance of the Council service or Department Communications Publications	Destroy 2 years from closure	<ul style="list-style-type: none"> • Assessment Form 	Common Practice
2.27	The published work of the Council Media Relations	Destroy after administrative use is concluded Note: One copy from the initial print run should go directly to the Archive	<ul style="list-style-type: none"> • Borough News 	Common Practice
2.28	Process of interaction with the media	Destroy 3 years from closure	<ul style="list-style-type: none"> • Press cuttings 	Common Practice

SCHEDULE 2

MANAGEMENT and ADMINISTRATION

Ref No.	Function Description	Retention Action	Examples of Records	Notes
			<ul style="list-style-type: none"> Media reports 	
2.29	Media publications concerning the Council	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> Press cuttings Media reports 	Common Practice
	Marketing			
2.30	The process of developing and promotion of Council campaigns and events	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded		Common Practice
	Civic Events			
2.31	The recording of ceremonial events and civic occasions	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> Visitors' book Audio tapes Video tapes Photographs 	Common Practice
2.32	The process of organising a ceremonial event or civic occasions	Destroy 6 months after administrative use is concluded		Common Practice

SCHEDULE 2

MANAGEMENT and ADMINISTRATION

Ref No.	Function Description	Retention Action	Examples of Records	Notes
Whistleblowing				
2.33	The process of managing the whistleblowing procedure	Destroy 2 years after last action	<ul style="list-style-type: none"> Correspondence Report of Investigation 	Common Practice Ombudsman
		Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> Statistical Records 	Common Practice
Other Records				
2.34	Any record that is existing at the time that the Head of Legal Services receives written notice that Court action relating to the record has commenced	Destroy after limitation period for litigation proceedings expired		Statute of Limitations
2.35	A record that is known by the Manager and/or the Head of Legal Services to be relevant to litigation that is pending at the time that the record would otherwise be destroyed	Destroy after limitation period for litigation proceedings expired		Statute of Limitations
2.36	A record that is known to Internal Audit to be relevant to an audit that is pending at the time the record would	Destroy after conclusion of audit		Common Practice

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MANAGEMENT and ADMINISTRATION

Ref No.	Function Description	Retention Action	Examples of Records	Notes
	otherwise be destroyed			
2.37	Diaries including electronic	Destroy after one year		Common Practice
2.38	Census	Permanent Offer to Archivist		Common Practice & Historic
2.39	Emails	Destroy 6 months after use is concluded		Common Practice

SCHEDULE 2

CLIENT SERVICES

Ref No.	Function Description	Retention Action	Examples of Records	Notes
	Housing Provision			
	The process of the allocation and management of housing by the Council and the associated issues of homelessness			Common Practice
3.1	The registration of individuals' housing applications	Destroy 1 year after termination	<ul style="list-style-type: none"> Council Housing Register 	Common Practice
3.2	The process for applying for council housing (unsuccessful applications only, successful applications will generally be placed on the tenancy file)	Destroy 1 year after closure	<ul style="list-style-type: none"> Council housing application forms and supporting material Application for transfer of tenancy and supporting papers 	Common Practice
		Destroy 6 months after closure of bids	<ul style="list-style-type: none"> Unsuccessful bids under Choice Based Lettings Scheme 	Common Practice
3.3	The process for managing the tenancy of an individual tenant	Destroy 6 years after termination of tenancy	<ul style="list-style-type: none"> Correspondence re tenancy Tenancy Agreement Tenancy files Council housing application forms and supporting material Application for transfer of tenancy and supporting papers Application for emergency housing or referral from another agency 	Common Practice. These may need to be kept for a longer period of time in order to prove that the tenant was actually housed properly by the Council

SCHEDULE 2

CLIENT SERVICES

Ref No.	Function Description	Retention Action	Examples of Records	Notes
		During the currency of an existing tenancy	<ul style="list-style-type: none"> Correspondence re tenancy – destroy after 3 years Tenancy Agreement retain for duration of tenancy destroy after 3 years unless there are FTA's when retain indefinitely Tenancy files – as above Council housing application forms and supporting material – retain for duration of tenancy destroy after 3 years unless there are FTA's when retain indefinitely Application for transfer of tenancy and supporting papers – as above Application for emergency housing or referral from another agency – as above 	
	Housing Repairs			
3.4	The process of managing housing repairs	Destroy 12 years from date of payment Destroy 6 years from date of payment	<ul style="list-style-type: none"> Contract payment under seal Contract payments under hand 	Common Practice Common Practice

SCHEDULE 2

CLIENT SERVICES

Ref No.	Function Description	Retention Action	Examples of Records	Notes
		Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Job tickets 	Common Practice
	Housing Rents			
3.5	The process of managing housing rents	Destroy 3 years after audit	<ul style="list-style-type: none"> • Collection/Subsidiary Records • Property File/Ledger 	Common Practice
	Private Sector			
3.6	The process of the management of private sector housing and associated issues	Destroy 2 years after closure	<ul style="list-style-type: none"> • Caravan Site Licences • Closing Orders 	Common Practice
		Destroy 3 years after closure	<ul style="list-style-type: none"> • Housing Enforcement Action • General Housing correspondence • Empty Homes • Immigration Inspections 	Common Practice
	Tenants Participation			
3.7	The process of managing the housing tenants participation and associated matters	Destroyed following annual review	<ul style="list-style-type: none"> • Membership Records • Tenants Compact 	Common Practice

SCHEDULE 2

CLIENT SERVICES

Ref No.	Function Description	Retention Action	Examples of Records	Notes
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SCHEDULE 2

LEGAL AND CONTRACTS

Ref No.	Function Description	Retention Action	Examples of Records	Notes
Litigation				
4.1	The process of managing, undertaking or defending for or against litigation on behalf of the Council	Destroy 2 years after last action. Major litigation - Offer to Archivist for review	<ul style="list-style-type: none"> • Criminal case file • Civil case file • Correspondence/emails 	Common Practice
Advice				
4.2	The process of providing legal advice on a point of law	Destroy 6 years after last action – unless a major precedent, then Offer to Archivist for review		Common Practice
Agreements				
4.3	Process of agreeing terms between organisations Note : this does not include contractual agreements	Destroy 6 years after agreement expires or is terminated	<ul style="list-style-type: none"> • Concordat 	Common Practice Depends on value of agreement. Mainly to do with agreements between public bodies, not in regard to contracts
Conveyance				
4.4	(see also Property Acquisition and Disposal) The process of changing ownership of land or property	Offer to Archivist for review	<ul style="list-style-type: none"> • Conveyancing files 	Statutory

SCHEDULE 2

LEGAL AND CONTRACTS

Ref No.	Function Description	Retention Action	Examples of Records	Notes
'Right to Buys'				
4.5	Leasehold Properties	Permanent. Offer to Archivist.		Council as Landlord
4.6	Freehold Properties	Destroy 5 years after date of purchase		To satisfy charge on Discount and Money Laundering Regulations
4.7	Rent to Mortgage	Destroy 5 years after the Council's share is purchased by the tenant		Common Practice and Money Laundering Regulations
Contracts and Tendering				
Pre Contract Advice				
4.8	The process of calling for expressions of interest	Destroy 1 year after contract let or not proceeded with	• Expressions of Interest	Common Practice
Specification and Contract Development				
4.9	The process involved in the development and specification of a contract	<p>Contracts not under seal Destroy 6 years after the terms of contract have expired</p> <p>Contracts under seal Destroy 12 years after the terms of contract have expired</p>	• Tender specification. For project files containing drafts leading to a final version these records can be destroyed	Statutory

SCHEDULE 2

LEGAL AND CONTRACTS

Ref No.	Function Description	Retention Action	Examples of Records	Notes
Tender Issuing and Return				
4.10	The process involved in the issuing and return of a tender	Destroy 1 year after start of contract	<ul style="list-style-type: none"> Opening notice Tender envelope 	Common Practice
4.11	Evaluation of Tender	<ul style="list-style-type: none"> Contracts not under seal Destroy 6 years after the terms of contract have expired Contracts under seal Destroy 12 years after the terms of contract have expired 	<ul style="list-style-type: none"> Evaluation criteria 	Statutory
4.12	Successful tender document	<ul style="list-style-type: none"> Contracts not under seal Destroy 6 years after the terms of contract have expired Contracts under seal Destroy 12 years after the terms of contract have expired 	<ul style="list-style-type: none"> Tender documents Quotations 	Statutory
4.13	Unsuccessful tender documents	Destroy 1 year after start of contract	<ul style="list-style-type: none"> Tender documents Quotations 	Common Practice

SCHEDULE 2

LEGAL AND CONTRACTS

Ref No.	Function Description	Retention Action	Examples of Records	Notes
Post Tender Negotiation				
4.14	The process in negotiation of a contract after a preferred tender is selected	Destroy 1 year after the terms of contract have expired	<ul style="list-style-type: none"> • Clarification of contract • Post tender negotiation 	Common Practice
Awarding of Contract				
4.15	The process awarding of a contract	<ul style="list-style-type: none"> • Contracts not under seal Destroy 6 years after the terms of contract have expired • Contracts under seal Destroy 12 years after the terms of contract have expired • (Potential for) Latent defects/damage Destroy 15 years after the terms of the contract have expired 	<ul style="list-style-type: none"> • Signed contract 	Statutory
Contract Management				
4.16	Contract operation and monitoring	Destroy 6 years (if under hand) or 12 years (if under seal) after the terms of contract have expired	<ul style="list-style-type: none"> • Service Level Agreements • Compliance Reports • Performance Reports 	Common Practice and Statute of Limitations
4.17	Management and amendment of contract	(a) Contracts not under seal Destroy 6 years after the terms of contract	<ul style="list-style-type: none"> • Minutes and papers of meetings • Changes to requirements 	Statute of Limitations and Common Practice

SCHEDULE 2

LEGAL AND CONTRACTS

Ref No.	Function Description	Retention Action	Examples of Records	Notes
		have expired (b) Contracts under seal Destroy 12 years after the terms of contract have expired (c) (Potential for) Latent defects/damage Destroy 15 years after the terms of the contract have expired	<ul style="list-style-type: none"> • Variation forms • Extension of contract • Complaints • Disputes on payment • Default Notices • Correspondence relating to poor workmanship/service provision 	
	Title Deeds			
4.18	The process of managing registered and unregistered title to Council owned land	Permanent. Offer to Archivist. Transfer to Place of Deposit (Deed Room) after administrative use is concluded	<ul style="list-style-type: none"> • Title Deeds 	Common Practice

SCHEDULE 2

HUMAN RESOURCES

Ref No.	Function Description	Retention Action	Examples of Records	Notes
5.1	<p>Human Resources Administration 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:-</p> <p>Name DOB Date of appointment Work history details Position/designation Titles & dates held</p>	<p>Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded</p>	<ul style="list-style-type: none"> • Employment Register – Permanent Staff • Employment Register – Temporary Staff • Employment Register – Casual Staff • Registers of personnel files • Personal History cards • Superannuation history card • Salary master record 	Common Practice
5.2	<p>The process of administering employees to ensure that entitlements & obligations are in accordance with agreed employment requirements</p> <ul style="list-style-type: none"> • Records containing superannuation information 	<p>Destroy 6 years from date of last pension payment</p>	<ul style="list-style-type: none"> • Medical clearance • Letter of appointment • Letter of acceptance • Details of assigned duties • Probation reports • Medical examinations • Personal particulars • Educational qualifications • Declarations of pecuniary interests • Secrecy undertakings • Employment contracts 	Common Practice
5.3	<p>Records relating to staff working with</p>	<p>Termination + 25 years</p>		Common Practice

SCHEDULE 2

HUMAN RESOURCES

Ref No.	Function Description	Retention Action	Examples of Records	Notes
	children			
5.4	All other records	Termination + 6 years		Common Practice
Employee and Industrial Relations				
5.5	Identification & development of significant directions concerning industrial matters	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Generic agreements and awards • Negotiations • Disputes • Claims lodged 	Common Practice
5.6	Processing of grievances	Destroy 3 years after administrative use is concluded	<ul style="list-style-type: none"> • Grievances management 	Common Practice
5.7	Processing of disciplinary investigations where proved	Oral Warning – 6 months Written Warning - 1 year Final Warning - 18 months The above warnings to be removed & destroyed after the relevant time has 'spent'. Warnings Involving Children – Placed on personal file permanently	<ul style="list-style-type: none"> • Disciplinary 	For all practical purposes this function would not be subject to records management, except for warnings involving children, which remain on the personal file permanently for reference purposes
5.8	Processing of disciplinary investigations where unfounded	Destroy immediately after the disciplinary has been found to be have been	<ul style="list-style-type: none"> • Disciplinary 	Common Practice

SCHEDULE 2

HUMAN RESOURCES

Ref No.	Function Description	Retention Action	Examples of Records	Notes
		unfounded; or after appeal		
	Equal Employment Opportunities			
5.9	The process of investigation and reporting on specific cases to ensure that entitlements & obligations are in accordance with agreed Equal Employment Opportunities guidelines policies	Destroy 5 years after action completed		Common Practice
	Occupational Health			
5.10	The process of checking and ensuring the health of staff	Destroy 75 years after DOB	<ul style="list-style-type: none"> • Health questionnaire • Medical clearance • Adjustment to work place • Restrictions • Recommendations 	Common Practice
	Recruitment			
5.11	The selection of an individual for an established position	Destroy 1 year after recruitment has been finalised (For letter of appointment for successful candidate use employment	<ul style="list-style-type: none"> • Advertisements • Applications • Referee reports • Interview reports • Unsuccessful applicants 	Common Practice

SCHEDULE 2

HUMAN RESOURCES

Ref No.	Function Description	Retention Action	Examples of Records	Notes
		conditions)		
	Staff Monitoring			
5.12	Performance and capability	Destroy 5 years after action Completed	<ul style="list-style-type: none"> • Probation reports • Performance plans 	Common Practice
5.13	Process of monitoring staff leave and attendance	Destroy 2 years after action completed	<ul style="list-style-type: none"> • Sick leave • Jury service • Study leave • Special and personal leave • Attendance books • Flexitime sheets • Leave applications • Clock on/off cards • Annual leave 	Common Practice
5.14	Financial Reward	Destroy 7 years after action completed		Common Practice. All records relating to actual payments are dealt with under Finance
5.15	Other Strategy	Destroy 3 years after action completed		Common Practice
	Termination			

SCHEDULE 2

HUMAN RESOURCES

Ref No.	Function Description	Retention Action	Examples of Records	Notes
5.16	The process of termination of staff through voluntary redundancy, dismissal and retirement	<p>Destroy 6 years after Termination</p> <p>If a pension is paid then records should be destroyed 6 years after last payment of pension</p>	<ul style="list-style-type: none"> • Resignation • Redundancy • Dismissal • Death • Retirement 	Common Practice
Training and Development				
5.17	Routine staff training processes, not occupational health and safety or children related	Destroy 2 years after action completed	<ul style="list-style-type: none"> • Course individual staff assessment 	Common Practice
5.18	Training (concerning children)	Destroy 35 years after training completed, or last entry	<p>Course individual staff assessment</p> <ul style="list-style-type: none"> • training register 	Common Practice
5.19	Training (occupational health and safety training)	<p>Destroy 50 years after training completed</p> <p>Individual course assessment records should be destroyed once the training has been renewed every 3 years</p>	<ul style="list-style-type: none"> • OH&S training register 	Common Practice
5.20	Training (materials)	Destroy 1 year after course		Common Practice

SCHEDULE 2

HUMAN RESOURCES

Ref No.	Function Description	Retention Action	Examples of Records	Notes
		is superseded		
5.21	Training (proof of completion)	Destroy 7 years after action completed	<ul style="list-style-type: none"> • Certificates • Awards • Exam results 	Common Practice
Appointment of Statutory Officers				
5.22	The process of selection of an individual for a statutory position	Destroy 2 years after date of appointment	<ul style="list-style-type: none"> • Vacancies & applications records • Interview Notes • Prospective staff records • Registers of applicants • Unsuccessful applications records 	Common Practice

SCHEDULE 2

FINANCIAL MANAGEMENT

Ref No.	Function Description	Retention Action	Examples of Records	Notes
Accounts & Audit				
Reporting				
6.1	The process that consolidates financial transactions on an annual basis for corporate reporting purposes	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Consolidated annual reports • Consolidated financial statements • Statement of financial position • Operating statements • General ledger 	Common Practice
6.2	The process that supports and consolidates financial transactions on a periodic (less than annual) basis, superseding those from the previous period. Does not include journals and subsidiary ledgers and cash books	Destroy when administrative use is concluded	<ul style="list-style-type: none"> • Consolidated monthly & quarterly reports • Consolidated monthly & quarterly financial statements • Working papers for the preparation of the above • Monthly accrual statements • Cashflow statements • Creditor listings and reports • Debtor listings and reports 	Common Practice
Financial Transactions Management				
6.3	Management of the approvals process for purchase, including investigations	Destroy 7 years after the end of the financial year in which the records were created	<ul style="list-style-type: none"> • Appointments & delegations • Audit investigations (physical, financial and IT controls) • Arrangements for the provision of goods and/or services 	Statutory

SCHEDULE 2

FINANCIAL MANAGEMENT

Ref No.	Function Description	Retention Action	Examples of Records	Notes
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Ref No.	Function Description	Retention Action	Examples of Records	Notes
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6.4	Identification of the receipt, expenditure and write offs of public monies	Destroy 6 years after the conclusion of the financial transaction that the record supports or 6 years after write off	<ul style="list-style-type: none"> • Allowances • Work orders • Invoices • Credit card statements • Cash books • Petty Cash vouchers • VAT receipts • Receipts • Cheque counterfoils • Bank statements • Subsidiary ledgers (annual) • Journals (annual) • Vouchers 	Statutory and Common Practice
6.5	Process involving the provision and support for individuals using public transportation	Destroy 6 years after the conclusion of the financial transaction that the record supports	<ul style="list-style-type: none"> • Applications • Card issue • Rail warrants 	Statutory
6.6	Processes that balance & reconcile financial accounts	Destroy 2 years after administrative use is concluded	<ul style="list-style-type: none"> • Reconciliation • Summaries of accounts 	Common Practice
6.7	Taxation Records	Destroy 5 years after the end of the financial year in	<ul style="list-style-type: none"> • Taxation records • Motor vehicle logs 	Statutory

SCHEDULE 2

FINANCIAL MANAGEMENT

Ref No.	Function Description	Retention Action	Examples of Records	Notes
6.8	Processes involved in the collection of National Insurance Number	Destroy 2 years after the employee ceases employment	<ul style="list-style-type: none"> Fringe benefits tax records Group certificates Notification & input records 	Common Practice

Ref No.	Function Description	Retention Action	Examples of Records	Notes
Payroll				
6.9	Accountable processes relating to payment of employees	Destroy 7 years after the conclusion of the financial transaction that the record supports	<ul style="list-style-type: none"> Authority sheets Payroll deduction authorities Payroll disbursement Employee pay records Employee taxation records 	Statutory
6.10	Non-accountable processes relating to payment of employees	Destroy after administrative use is concluded	<ul style="list-style-type: none"> Summary employee pay reports 	Common Practice
Financial Provisions				
Budgets and Estimates				
6.11	The process of finalising the Council's annual budget	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is	<ul style="list-style-type: none"> Annual budget 	Common Practice Only the final version of the annual budget needs to be kept

SCHEDULE 2

FINANCIAL MANAGEMENT

Ref No.	Function Description	Retention Action	Examples of Records	Notes
		concluded		
6.12	The process of developing the Council's annual budget	Destroy 2 years after annual budget adopted by the Council	<ul style="list-style-type: none"> • Draft budgets • Departmental budgets • Draft estimates 	Common Practice
6.13	The process of reporting which examines the budget in relation to actual revenue and expenditure	Destroy after next year's annual budget has been adopted by the Council	<ul style="list-style-type: none"> • Quarterly statements 	Common Practice
Loans				
6.14	The activity of borrowing money to enable a Council to perform its functions and exercise its powers	Destroy 7 years after the loan has been repaid	<ul style="list-style-type: none"> • Loan files • Copy Bond Certificates • Temporary Loans Register 	Statutory
	Summary management of loans	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Loans Registers 	Common Practice
Grants				
6.15	The process of managing grants (other than Housing Renewal Grants – see 6.19 below)	Destroy 2 years after date of application	<ul style="list-style-type: none"> • Application Forms • Audit Memos 	Common Practice

SCHEDULE 2

FINANCIAL MANAGEMENT

Ref No.	Function Description	Retention Action	Examples of Records	Notes
				GOSE letter dated 25.05.06
	EU Structural Funds Programme (Objective II: Interreg IIIa and Urban) Grant Offer Letters (GOLs)	Destroy after 3 years following closure programme (as opposed to closure of projects themselves)	Application Forms and Business Plan Offer letters and revised version GOSE correspondence Invoices Cheques/BACS evidence	
6.16	Mortgages	Last payment + 6 years if signed Last payment + 12 years if sealed	<ul style="list-style-type: none"> • Mortgage agreements • Correspondence 	Statutory
		Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded	<ul style="list-style-type: none"> • Register of Mortgages 	Common Practice
6.17	'Right to Buy'	Destroy 12 years after sale of house	<ul style="list-style-type: none"> • Sale documents • Agreement concerning sale 	Common Practice
6.18	Rent Payments	Destroy 7 years after the end of the financial year in which created	<ul style="list-style-type: none"> • Rent books • Correspondence concerning payment • Requests for payment 	Statutory
6.19	Housing Renewal Grants	Withdrawn/refused applications – destroy 2 years after closure	<ul style="list-style-type: none"> • Agreement to pay grant • Details of payments • Correspondence relating to 	Statutory

SCHEDULE 2

FINANCIAL MANAGEMENT

Ref No.	Function Description	Retention Action	Examples of Records	Notes
		Grant approval – destroy 10 years after closure	grant	
	Council Tax Valuation			
6.20	The valuation of rateable land within a municipal district for the purpose of the making of the rate	Valuation lists - Permanent. Offer to Archivist for review Destroy 10 years after the year in which the valuation was made	<ul style="list-style-type: none"> • Valuation lists • Correspondence • Objections • Reports 	Common Practice

Ref No.	Function Description	Retention Action	Examples of Records	Notes
	Property History			
6.21	The recording of information for rateable properties identifying the person or company rated, including details of the value of the property. Note: Records containing accounting information primarily, and not being a source of property history, should be disposed of according to the appropriate record class within the Accounts & Audit function	Permanent. Offer to Archivist for review. Transfer to Place of Deposit after administrative use is concluded	<ul style="list-style-type: none"> • Rate Books • Rate Cards • Register of Rateable Properties 	Common Practice
	Rates and Council Tax			

SCHEDULE 2

FINANCIAL MANAGEMENT

Ref No.	Function Description	Retention Action	Examples of Records	Notes
6.22	<p>Correspondence</p> <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>	Destroy 3 years after last action	<ul style="list-style-type: none"> • Notices • Objections • Applications • Correspondence • Rate certificates • Notices of acquisition and disposition • Rate property files • Statistics • Reports • Refunds 	Common Practice
		<p>Permanent. Offer to Archivist for review. Transfer to Place of Deposit after administrative use is concluded</p>	<ul style="list-style-type: none"> • NNDR Valuation Lists • NNDR Valuation Officer Update Schedules • NNDR Primary Rate Records 	Common Practice
	<p>Summary Assets Management</p>			
6.23	See Property Management for real property assets. See Transport Management for vehicle assets			
6.24	Summary management reporting on	Permanent. Offer to	<ul style="list-style-type: none"> • Schedules of acquisitions 	Common Practice

SCHEDULE 2

FINANCIAL MANAGEMENT

the overall assets of the Council

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

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

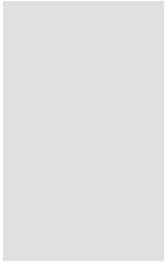
Asset Monitoring and Maintenance

6.25	Management systems that allow the monitoring & management of assets in summary form	Destroy 6 years after the conclusion of the financial transaction that the record supports	Subsidiary asset registers	Common Practice
6.26	Process of reporting and reviewing assets status	Destroy 2 years after administrative use is concluded	<ul style="list-style-type: none"> • Routine returns and reports on asset status • Inventories • Stocktaking • Surveys of usage • Acquisition and disposal reports & proposals 	Common Practice
6.27	The process of maintaining assets	Destroy 7 years after last action	<ul style="list-style-type: none"> • Grounds maintenance • Cleaning • Painting 	Common Practice
6.28	The process of maintaining plant and equipment	Destroy 7 years after sale or disposal of asset	<ul style="list-style-type: none"> • Service records • Plant files 	Common Practice

Asset Acquisition and Disposal

6.29	Management of the acquisition (by financial lease or purchase) and disposal (by sale or write off) process	Destroy 6 years, if under £50 000 or 12 years if over £50 000, after all	<ul style="list-style-type: none"> • Legal documents relating to the purchase/sale • Particulars of sale documents 	Statutory
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SCHEDULE 2



for assets

FINANCIAL MANAGEMENT

obligations/entitlements are concluded

- Board of survey
- Leases
- Applications for leases, licences & rental revision
- Tender documents
- Conditions of contracts
- Certificates of approval

SCHEDULE 2

PROPERTY AND LAND MANAGEMENT

Ref No.	Function Description	Retention Action	Examples of Records	Notes
	Property and Land Management			
7.1	Reports to management on overall property of the Council	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Consolidated property & buildings annual reports • Summary of leased property • Summary of Council's owned property • Site register • Register of leases 	Common Practice
	Property Acquisition and Disposal [see also Conveyance]			
7.2	Management of the acquisition (by financial lease or purchase) process for real property	Retain for life of property or building + 12 years. Offer material re major/significant properties to Archivist for review	<ul style="list-style-type: none"> • Plans 	Common Practice
7.3	Management of the disposal (by sale or write off) process for real property	Destroy 15 years after all obligations/ entitlements are concluded. Offer material re major/significant properties to Archivist for review	<ul style="list-style-type: none"> • Legal documents relating to the sale • Particulars of sale documents • Board of Survey • Tender documents • Conditions of contracts 	Common Practice
	Property Development and Renovation			
7.4	The process of managing and undertaking renovations and development of property			

SCHEDULE 2

PROPERTY AND LAND MANAGEMENT

Ref No.	Function Description	Retention Action	Examples of Records	Notes
7.5	Management <ul style="list-style-type: none"> buildings and estates of "special interest" 	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> Project specifications Plans Installation manuals Certificates of approval 	Common Practice
7.6	Management <ul style="list-style-type: none"> all other buildings and estates 	Retain for life of property or building	<ul style="list-style-type: none"> Project specifications Plans Installation manuals Certificates of approval 	Common Practice For asbestos see health and safety under General Public Services
7.7	The action process involved in the development and renovation of property	Destroy 7 years after the conclusion of the transaction that the record supports	<ul style="list-style-type: none"> Work orders Tender documents Conditions of contracts 	Common Practice
Leasing and Occupancy				
7.8	The process of managing leased property	Destroy 15 years after the expiry of the lease	<ul style="list-style-type: none"> Lease agreements Rental expenditure authorities Valuation queries Applications for leases, licences & rental revision 	Common Practice
7.9	The process of managing the occupancy of property	Destroy 7 years after the conclusion of the transaction that the record supports	<ul style="list-style-type: none"> Requests for works, cleaning, etc. 	Common Practice
Housing Provision				

SCHEDULE 2

PROPERTY AND LAND MANAGEMENT

Ref No.	Function Description	Retention Action	Examples of Records	Notes
7.10	The process of managing Council housing estates	Destroy 4 years after last action	<ul style="list-style-type: none"> • Stock monitoring records 	Common Practice
Systems Management				
7.11	The internal process to develop or extend the capabilities of a system used to support the activities of the Council	Retain for life of system then destroy		Common Practice
7.12	The process to implement a system used to support the activities of the Council	Destroy 7 years after last action	<ul style="list-style-type: none"> • Implementation plan 	Common Practice
7.13	The process to support and administer a system used to support the activities of the Council	Destroy 5 years after last action		Common Practice
Transport Management				
7.14	The process of acquisition and disposal of vehicles through lease or purchase	Destroy 6 years after the disposal of the vehicle	<ul style="list-style-type: none"> • Leases • Contracts • Quotes • Approvals • Fleet authorisation numbers 	Common Practice
7.15	The process of managing allocation & maintenance of vehicles	Destroy 6 years after the sale or disposal of the vehicle	<ul style="list-style-type: none"> • Approvals as drivers • Allocations & authorisations for vehicles • Maintenance 	Common Practice

SCHEDULE 2

PROPERTY AND LAND MANAGEMENT

Ref No.	Function Description	Retention Action	Examples of Records	Notes
7.16	The process of recording vehicle usage	Destroy 3 years after the sale or disposal of the vehicle	<ul style="list-style-type: none"> • Vehicle usage reports 	Common Practice
7.17	The process of recording drivers usage	Destroy 6 years after closure	<ul style="list-style-type: none"> • Vehicle log book 	Common Practice
Insurance				
Policy Management				
7.18	The summary management of insurance arrangements	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Insurance register 	Common Practice
7.19	The process of insuring Council Officers, Members, property, vehicles and equipment against negligence, loss or damage	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Insurance policies 	Common Practice
7.20	The process of renewing insurance policies	Destroy 6 years after the relevant contract expires	<ul style="list-style-type: none"> • Insurance Policy Renewal records • Correspondence 	Common Practice
Claims Management				
7.21	The process that records insurance claims against the Council or Council	Destroy 6 years after all obligations/entitlements are	<ul style="list-style-type: none"> • Claims records • Correspondence 	Common Practice

SCHEDULE 2

PROPERTY AND LAND MANAGEMENT

Ref No.	Function Description	Retention Action	Examples of Records	Notes
	Officers and Members	concluded (allowing for the claimant to reach 25 years of age)	• Settled Claims	

SCHEDULE 2

GENERAL PUBLIC SERVICES

Ref No.	Function Description	Retention Action	Examples of Records	Notes
Health and Safety				
Inspections and Assessments				
8.1	Process of inspecting equipment to ensure it is safe	Destroy 6 years from destruction of the equipment	<ul style="list-style-type: none"> Equipment inspection records 	Statutory
8.2	Processing the geotechnical assessments of a quarry	When quarry is no longer in use consult or refer to Health and Safety Executive (HSE) Statutory		
8.3	Process of carrying out monitoring to ensure that the process is safe	Destroy 3 years from last action	<ul style="list-style-type: none"> Monitoring results 	Statutory
8.4	Process of monitoring of areas where employees and persons are likely to have become in contact with asbestos	Destroy 40 years from last action	<ul style="list-style-type: none"> Property asbestos files 	Common Practice based on Statutory
8.5	Process of monitoring of areas where employees and persons are likely to have come in contact with radiation	Destroy 50 years from last action or at age 75 years whichever is the greater	<ul style="list-style-type: none"> Radon monitoring 	
8.6	Process to ensure safe systems of work	Retain until superseded or process ceases + 1 year		Common Practice
8.7	Process to assess the level of risk	Destroy 3 years from last assessment	<ul style="list-style-type: none"> Risk assessment 	Statutory

SCHEDULE 2

GENERAL PUBLIC SERVICES

Ref No.	Function Description	Retention Action	Examples of Records	Notes
8.8	Processes that permit work	Destroy 1 year from last action		Common Practice
8.9	Process that records injuries to adults	Destroy 3 years from closure	<ul style="list-style-type: none"> • Accident books 	Statutory
8.10	Process that records injuries to children	Destroy 25 years from closure	<ul style="list-style-type: none"> • Accident books 	Based on Statutory
Emergency Planning				
8.11	Process to develop the civil protection plan for the local community	Permanent. Offer to Archivist for review. Transfer to place of deposit after superseded	<ul style="list-style-type: none"> • Civil Protection Plan 	Common Practice
8.12	Process of recording the results of the test for emergency/disaster plan for the local community	Destroy 4 years after closure		Common Practice
Major Incident				
8.13	Activities that report on all major incidents in the local community, whether the civil protection plan has been invoked or not	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded		Common Practice
8.14	Activities that report on all minor incidents in the local community	Destroy 4 years after closure	<ul style="list-style-type: none"> • Logs of Incident • Correspondence 	Common Practice

SCHEDULE 2

GENERAL PUBLIC SERVICES

Ref No.	Function Description	Retention Action	Examples of Records	Notes
	Enforcement Certification and Prosecution			
	Registration, Certification and Licensing			
8.15	Summary management systems that allow the monitoring & management of registration, certification and licences registration requirements in summary form	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Visual impairment register 	Common Practice
8.16	The administration of applications, registration, certification and licences in relation to local authorities' registration requirements	<p>Destroy 2 years after registration or entitlement lapses</p> <p>Private Hire and Hackney Carriages registrations are updated on a regular basis. No historical data is retained</p>	<ul style="list-style-type: none"> • Applications for animal registration • Applications for registration of a business premises • Applications for release of animals impounded • Registers • Certificates of registration of: <ul style="list-style-type: none"> • door supervisors • taxi/private hire drivers • beauty therapists • Animal movement licences • Gaming • Fire certification • Disabled Parking permits • Blue badge 	Statutory Note: may want archival review in cases of licensing of children in entertainment

SCHEDULE 2

GENERAL PUBLIC SERVICES

Ref No.	Function Description	Retention Action	Examples of Records	Notes
8.17	The process involved in licensing sites for the holding or use of toxic or hazardous substances. (including petroleum, agricultural chemical products or herbicides)	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded - 60 years after registration or entitlement lapses	<ul style="list-style-type: none"> • Registration to sell poison • Hackney Carriages and Private Hire • Diesel licences • Petroleum licences • Health and safety licensing • Hazardous substances • Contaminated land register/pollution 	Common Practice
	Notification			
8.18	The process of issuing notices to citizens with respect to particular responsibilities	Destroy 2 years after the matter is concluded	<ul style="list-style-type: none"> • Fire Prevention notices • Fire Prevention Infringement notices • Objections to notices • Appeals against notices • Registration of premises Infringement notices • Animal Impounding notices 	Common Practice
	Investigation, Inspection and Monitoring			
8.19	The process of investigation, monitoring or inspection of laws the responsibility of the Council	Destroy 7 years from last action and/or entries in Note Book.	<ul style="list-style-type: none"> • Inspections records • Note Books 	Common Practice
	Prosecution			

SCHEDULE 2

GENERAL PUBLIC SERVICES

Ref No.	Function Description	Retention Action	Examples of Records	Notes
8.20	The process of prosecution or sanction of an individual or organisation for failing to comply with their legal responsibilities Bye-Laws	Destroy 2 years from last action.	<ul style="list-style-type: none"> • Prosecution/sanction files 	Common Practice
	Enactment			
8.21	The process of making local laws Administration & Enforcement	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Master Set of bye-laws • Policy Development documents • Correspondence • Submissions 	Common Practice
8.22	The process of administering and enforcing bye-laws Car Parking	Destroy 2 years after certificate has expired or penalty payment has been made or the matter has been finished or correspondence on the matter has ceased	<ul style="list-style-type: none"> • Applications and certificates • Permits • Licences • Infringement notices (Parking) • Correspondence 	Common Practice
	The process of managing car parking in the Borough Cemeteries & Crematoria	Destroy 2 years after last action	<ul style="list-style-type: none"> • Unpaid/written off fines • Paid fines 	Common Practice

SCHEDULE 2

GENERAL PUBLIC SERVICES

Ref No.	Function Description	Retention Action	Examples of Records	Notes
8.23	Summary management systems that record the location of burials and identity of deceased individuals	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Register of interments • Cemetery/graves register • Cemetery plans • Transfer of grave records 	Common Practice
	Land Charges			
8.24	Land Charges Searches	Destroy 7 years after last action	<ul style="list-style-type: none"> • Searches • Certificates 	Common Practice
	Waste Management			
8.25	The provision of hard waste removal, destruction and waste reduction services by the Council to ratepayers			
	Collection			
8.26	The process of arranging the collection or transportation of household waste	Destroy 2 year after last action		Common Practice
8.27	The process of arranging the collection or transportation of controlled waste	Destroy 6 year after last action		Common Practice
	Disposal of Waste			
8.28	The summary management of sites used for the disposal of waste within the Council	Permanent. Offer to Archivist. Transfer to place of deposit		Common Practice

SCHEDULE 2

GENERAL PUBLIC SERVICES

Ref No.	Function Description	Retention Action	Examples of Records	Notes
		after administrative use is concluded		
8.29	The process of the short term storage of household waste	Destroy 10 year after site closure	<ul style="list-style-type: none"> Transfer sites 	Common Practice
8.30	The process involved in managing the use, type and amount of waste to be disposed at a specific site	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> Waste site plans 	Common Practice
The Orchard Theatre				
8.31	The process of management of The Theatre	Destroy 5 years after last booking	<ul style="list-style-type: none"> Box Office Customer Records 	Common Practice
		Destroy after 1 year	<ul style="list-style-type: none"> User Drawer Reports Vouchers (cancelled and gift) 	Common Practice
	Regulation of Investigatory Powers (RIPA) and Access to Communications Data (ACD)			
8.31	The process of authorisation and inspections			
	RIPA	Destroy 7 years after cancellation of RIPA	<ul style="list-style-type: none"> Authorisation forms Inspection reports 	Common Practice

SCHEDULE 2

GENERAL PUBLIC SERVICES

Ref No.	Function Description	Retention Action	Examples of Records	Notes
		authorisation	<ul style="list-style-type: none">Monitoring information	
	ACD	Destroy 7 years after receipt of ISP's response	<ul style="list-style-type: none">ISP responsesMonitoring information	Common Practice

SCHEDULE 2

INFRASTRUCTURE AND TRANSPORT

Ref No.	Function Description	Retention Action	Examples of Records	Notes
	Planning Scheme Development and Amendment			
9.1	The activity of developing a vision and strategic directions regarding existing and future land use within the Council and the development of local and town centre plans and/or local development frameworks to ensure the implementation of the Structure Plan and/or Regional Spatial Strategy	Permanent. Offer to Archivist when plan superseded	<ul style="list-style-type: none"> • Regional Spatial Strategy/Structure Plan • Local Plan • Local Development Framework • Town Centre Plans • Development Plans 	Common Practice
9.2	The activity of consultation to gain approval for the Regional Spatial Strategy, Structure Plan (Development Plans) or Local Plans and/or Local Development Frameworks	Until the completion of the next, subsequent review of the substantive document	<ul style="list-style-type: none"> • Consultation documents and replies • Inquiries and objections made by members of public • Public Inquiry documents 	Common Practice
9.3	The activity of recording information on historical buildings, monuments and ecology at a specific site	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Sites and Monuments records • Ecological records • Species records • Historically listed buildings • Definitive map • Commons registration 	Common Practice

SCHEDULE 2

INFRASTRUCTURE AND TRANSPORT

Ref No.	Function Description	Retention Action	Examples of Records	Notes
9.4	The activity of establishing planning scheme controls and providing for them to be amended	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Successful Waste Planning application • Successful Mineral Planning applications • Amendments to definitive map • Mineral Register • Applications for mineral extraction • Land Use surveys 	Common Practice
9.5	The process of receiving, considering and responding to submissions and objections to planning schemes and amendments	Destroy 15 years after decision. Offer controversial/high profile schemes to Archivist	<ul style="list-style-type: none"> • Waste Planning application consultation • Mineral Planning applications consultation • Objections • Inquiries – Public etc • Archaeological: advice/conditions 	Common Practice
9.6	The process of controlling development of areas through applications for planning permission	Transfer planning application register to Archivist once the register has been completed (or at arranged intervals if it is held electronically) Refer all other records to Archivist for sampling	<ul style="list-style-type: none"> • Planning application files and plans • Correspondence relating to any objections • Hearing papers • Planning application register 	Common Practice

SCHEDULE 2

INFRASTRUCTURE AND TRANSPORT

Ref No.	Function Description	Retention Action	Examples of Records	Notes
9.7	The process of maintaining the countryside and developing open spaces for public amenity	Refer all files relating to policy to the Archivist Destroy other files 7 years after administrative use concluded	<ul style="list-style-type: none"> • Tree Preservation Orders • Country parks and nature reserves development plans and correspondence, land purchase agreements 	Common Practice
Planning Scheme Regulation				
9.8	The summary management of planning scheme regulation	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Building Control Registers 	Common Practice
9.9	The process of regulating the planned use of land or buildings	Destroy 15 years after closure		Common Practice
9.10	The process of approving building applications in relation to listed or other significant buildings	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Building files • Plans • Specifications • Correspondence • Applications • Permits 	Common Practice

SCHEDULE 2

INFRASTRUCTURE AND TRANSPORT

Ref No.	Function Description	Retention Action	Examples of Records	Notes
9.11	The process of approving building applications, for all other buildings	Destroy 15 years after construction completed	<ul style="list-style-type: none"> • Certificates • Building files • Plans • Specifications • Correspondence • Applications • Permits • Certificates • Objections 	Common Practice
9.12	The process of inspecting building work for the purpose of insuring compliance	Destroy 10 years after the issue of a certificate of final inspection	<ul style="list-style-type: none"> • Certificate of final inspection • Building Inspection records • Diaries 	Common Practice
9.13	The process of enforcing building or land regulations	Destroy 3 years after compliance with enforcement notice		Common Practice

SCHEDULE 2

INFRASTRUCTURE AND TRANSPORT

Ref No.	Function Description	Retention Action	Examples of Records	Notes
Planning and Development				
10.1	The activity of developing a vision and strategic directions regarding existing transport and infrastructure within the municipality	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Structure Plan • Local transport plan 	Common Practice
10.2	The activity of recording location of highways, bridle paths and rights of way	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Definitive map • Correspondence concerning enquiries and disputes 	Common Practice
10.3	The activity of establishing planning scheme controls and providing for them to be amended and modified	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Amendments to definitive map • Road adoption 	Common Practice
10.4	The process of receiving, considering and responding to submissions and objections to planning schemes and amendments	Destroy 7 years after decision. Offer controversial/high profile schemes to Archivist	<ul style="list-style-type: none"> • Enquiries, consultation documents, objections and correspondence 	Common Practice
10.5	The process of enforcing infrastructure and transport regulations	Destroy 50 years after enforcement notice. Destroy 3 years after compliance		Common Practice

SCHEDULE 2

INFRASTRUCTURE AND TRANSPORT

Ref No.	Function Description	Retention Action	Examples of Records	Notes
	Traffic Management	with enforcement notice.		
10.6	The activity of planning, and programming the continued flow, diversion or reduction of traffic	Destroy 7 years after action completed	<ul style="list-style-type: none"> • Traffic Orders 	Common Practice
	Design and Construction			
10.7	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			
10.8	The activity of providing municipal services in relation to infrastructure within the Council	Destroy 7 years after last action	<ul style="list-style-type: none"> • Street files • Street records • Requests for: • Hedge clipping • Tree planting • Naming of streets • Numbering of houses • Street load limits • Street signs • Bus shelters • Applications to dig up pavements 	Common Practice Common Practice

SCHEDULE 2

INFRASTRUCTURE AND TRANSPORT

Ref No.	Function Description	Retention Action	Examples of Records	Notes
10.9	<p>Road Maintenance</p> <p>The activity of maintaining and repairing roads, streets, bridges, bridle paths, rights of way and tunnels</p>	<p>Destroy 12 years after action completed</p>	<ul style="list-style-type: none"> • HGV application • Advice / comment • Level crossings • Right of ways • Roundabouts • Traffic calming measures • Street lighting 	<p>Common Practice</p>