

**Luton Borough Council  
Retention Schedules for Records Management**

**Annex 1 to the Information and Records Management Policy**

**July 13th 2007**

**Records Retention Schedules for LBC**

1. These schedules represent good practice in record keeping for Luton Borough Council. They should be used in conjunction with the Records Management Policy and are an Annex to that policy and also the Guidelines on Good Record Keeping.
2. At all stages of the records management lifecycle officers should ensure that appropriate details are kept of the change in status of the records and their current location or that they have been destroyed should that be the case. This register must detail exactly which records were involved.
3. In case of any dispute or need for clarification of this policy guidance should be sought from the County Archivist's office. However the guidance in this document represents the council's policy and can only be overruled by action of the Chief Executive or delegated authority.
4. If there is any threat of litigation then any records or information, which is likely to be affected, should not be disposed of until the threat of litigation has passed.
5. There are some records, which do not need to be kept at all; standard operating procedure defines types of records, which staff may routinely destroy in the normal course of business. SOP usually applies to information that is duplicated, unimportant or only of short-term value. Duplicated or superseded material such as manuals, drafts, forms address book and so on may be destroyed under SOP. The SOP for Luton is 6 years.

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<b>1.</b>		<b>ADMINISTRATION</b>		
	<b>1.2.2</b>	Corporate planning and reporting activities.	Corporate Plans Strategy Plans Business Plans Quarterly and Annual Reports Departmental Plans	Indefinitely: offer to county archivist when administrative use is over
	<b>1.3.1</b>	Preparing business for strategic consideration and making the record of discussion, debate and resolutions	CLMT Papers CLMT Sub Committees	Indefinitely offer to county archivist when administrative use is over
	<b>1.3.1</b>	Preparing business for cross departmental consideration and making the record of discussion, debate and resolutions at corporate level		5 years
	<b>1.3.1</b>	Preparing papers, meeting papers, agendas, minutes etc for general administration not covered by other specific headings	Team Meetings General correspondence	Current year plus 5 years
<b>1.1</b>		<b>Policy, Procedures, Strategy and Structure</b>		
	<b>1.2.2</b>	Activities that develop policies, procedures, strategies and structures for the local authority	Policy, procedure, precedent, instructions Organisation charts Divisional Information Policy implementation and development Education plan Asset management plan Children's services plan Community safety plan Information Strategy Social Inclusion Strategy Performance Management Guidance HR Strategy Departmental Service Plans Annual Plan	12 years

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Ref No	File Plan Ref	Function Description	Examples of Records	Retention Periods
			Quarterly Plan Other Corporate Critical Plans	
<b>1.2</b>		<b>Enquiries and Complaints</b>		
	<b>3.4</b>	The management in summary form of enquiries and complaints directed to council members	Complaints File	7 years
	<b>3.4</b>	The management of enquiries, submissions and complaints which result in significant changes to policy or procedures	Reports Returns Correspondence Area Committees	5 years
	<b>3.4</b>	The management of detailed responses on council actions, policy or procedure	Reports Returns Correspondence Ombudsman	6 years after administrative use is concluded
	<b>3.4</b>	The management of routine responses on council actions, policy or procedures	Printed material Form letters Area Committees	7 years after administrative use is concluded
<b>1.3</b>	<b>1.1</b>	<b>Publications</b>		
	<b>1.1.1</b>	The process of designing information for publication		3 years from last action
	<b>1.1.1</b>	The published work of the local authority		Destroy after administrative use is concluded One copy from initial print run to go directly to the archive.
	<b>1.1.2</b>	Process of interaction with the media		3 years from closure One copy from initial print run to go directly to the archive
	<b>1.1.2</b>	Media publications concerning local authorities	Press cuttings Media reports	5 years
<b>1.4</b>	<b>1.1.2</b>	<b>Marketing</b>		
		Developing and promotion of local authorities campaigns events		3 years

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Ref No	File Plan Ref	Function Description	Examples of Records	Retention Periods
<b>1.5</b>	<b>1.2</b>	<b>Corporate Policy</b>		
	<b>1.2.1</b>	Statutory Returns	Reports to Central Government BVPP and BVPIs	7 Years
	<b>1.2.1</b>	Quality and Performance Management		
		Monitoring or reviewing the quality, efficiency, or performance of a local authority service or unit		3 years
		Assessing the quality, efficiency, or performance of a local authority service or unit	Audit and Inspection reports	3 years
	<b>1.2.2</b>	Monitoring and reviewing strategic plans, policies or procedure to assess their compliance with guidelines	Quarterly and Annual Performance Reports	5 years from closure
<b>1.6</b>	<b>1.3.4</b>	<b>Public Consultation</b>		
		Consulting the public and staff in the development of significant policies of the local authority	Panels General Surveys Staff Surveys Satisfaction Questionnaires	1 year for one-off surveys 5 years for repeated surveys
		Consulting the public and staff in the development of minor policies of the local authority		1 year from closure
<b>2</b>		<b>DEMOCRATIC PROCESSES</b>		
<b>2.1</b>	<b>1.3.1</b>	<b>Political Parties: Papers</b>		
		Undertaking representation of the local authority – local authority representatives	Leader of opposition papers Leader of council papers	3 years after last action
<b>2.2</b>	<b>1.3.2</b>	<b>Partnership, Agency and External Meetings</b>		
		Preparing business for partnership and agencies consideration and making the record of discussion, debate and resolutions, where the local authority legally owns the record.	Documents establishing the committee Agendas and Minutes Council reports	Permanent – offer to County Archivist

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Ref No	File Plan Ref	Function Description	Examples of Records	Retention Periods
			Recommendations Supporting docs- Council briefing and discussion papers Minutes, Agenda Items, Committee Reports, Questionnaires, Correspondence, Membership Lists, Away Day Notes, Partnership Minutes, Champions Reports.	
	1.3.2	Preparing business for external committees' consideration, and making the record of discussion, debate and resolutions, where the local authority does not own the record	Documents establishing the committee reports Recommendations Supporting documents such as briefing and discussion papers	7 years after last action
2.3	1.3.5	<b>Council and Committee Meetings</b>		
		Preparing business for Council consideration and making the record of discussion, debate and resolutions and Minute taking	Constitution Council & Committees Agendas & Final Minutes Includes non-regulatory committees Executive Board Agendas & Final Minutes (Includes predecessor Ratification Committee) Regulatory Committees Agenda & Final Minutes (Includes Planning, Licensing, Licensing Act 2003, Street Trading, Education Appeals, Appointments & Disciplinary Panel) Neighbourhood Committees Agendas & Final Minutes (Including predecessor Area Committees) Register of Decisions	Permanent –offer to County Archivist



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Ref No	File Plan Ref	Function Description	Examples of Records	Retention Periods
			Register of Interests Ongoing (former Members records retained separately)	
<b>2.4</b>	<b>1.3.6</b>	<b>Elections</b>		
		Preparation		
		Summary certification of those eligible to vote  Voting Local elections only	Electoral Register  Ballot papers	Permanent – offer to County Archivist when administrative use is over  6 months from close of poll
		Results		
		Declaration of results: Local elections only	Consolidated returns of votes received	6 months from date of election
<b>2.5</b>	<b>1.5</b>	<b>Honours and Submissions</b>		
		Preparing of honours submission	Honours nomination form Covering documentation Letters of support	5 years after last action
		Organising a ceremonial event or civic occasions		1 years after administrative use is concluded
<b>3.</b>		<b>ASSET MANAGEMENT</b>		
<b>3.1</b>		<b>Asset Management</b>		
	<b>3.2.</b>	Reports to management on overall property of the local authority	Consolidated property & buildings annual reports Summary of leased property Summary of owned property Site register Register of leases	6 years after the conclusion of the financial year in which the records were created
<b>3.2</b>	<b>3.2</b>	<b>Property Acquisition and Disposal</b>		
		See also Conveyance Management of the acquisition by financial lease of purchase - process for real property - See also 21.1.0	Plans	Files retained for 10 years. Offer material re major/significant properties to County Archivist for

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Ref No	File Plan Ref	Function Description	Examples of Records	Retention Periods
				review
		Management of the disposal by sale or write off process for real property		(Competitive Sale) Files retained for 10 years after sale. (Right to Buy) Sale records retained indefinitely. - Offer material re major/significant properties to Archivist for review
			Legal documents relating to the sale Particulars of sale documents Board of Survey Tender documents Conditions of contracts	NOTE Offer material re major/significant properties to Archivist for review
<b>4</b>		<b>AUDIT</b>		
<b>4.1</b>	<b>3.6</b>	<b>Internal Audits</b>		
		Activities surrounding the planning and execution of an audit including papers, checklists, action plans etc; permanent files (orange)	Audit report Action Plan Correspondence  System notes	6 years from date of final report   6 years from final report or when superseded
		Activities surrounding the planning and execution of an audit temporary (blue) files	Report sheets Standard documentation Progress review sheets Briefing notes File review notes All draft reports Closing meeting notes Work programme Systems benefit analysis Summary of audit findings Working papers Background information	5 years after the final report or subsequent review whichever is the sooner

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Ref No	File Plan Ref	Function Description	Examples of Records	Retention Periods
		The process of one off special investigations	Final report Working papers Evidence	6 years after legal proceedings have been completed or the closure of case if not legal proceedings i.e. disciplinary
		Internal audit guides		When superseded
		Reports to Audit Committee and Directors		3 years
		Internal audit plans		2 years
<b>5</b>	<b>3.3</b>	<b>FINANCIAL MANAGEMENT</b>		
<b>5.1</b>		<b>Transactions</b>		
	<b>3.3</b>	Management of the approvals process for purchase, including investigations	Appointments & delegations Audit investigations Arrangements for the provision of goods and/or services	6 years after the conclusion of the financial year in which the record was created
	<b>3.3</b>	Identification of the receipt, expenditure and write offs of public monies	Allowances Creditors of Payroll Overpayments Work orders Invoices Credit card statements Cash books Receipts Cheque counterfoils Bank statements Subsidiary ledgers annual Journals annual Vouchers	6 years after the conclusion of the financial year in which the record was created
	<b>3.3</b>	Process involving the provision and support for individuals using public transportation	Applications Card issue Rail warrants	6 years after the conclusion of the financial transaction that the Record supports
	<b>3.3</b>	Processes that balance & reconcile financial accounts	Reconciliation Summaries of accounts	6 years after the end of the financial year in which the records were

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Ref No	File Plan Ref	Function Description	Examples of Records	Retention Periods
				created
	3.3.	Taxation records VAT	Taxation records VAT Motor vehicle logs Fringe benefits tax records Group certificates	6 years after the conclusion of the financial year in which the record was created
	3.3	Processes involved in the collection of National Insurance Number	Notification & Input records  P6	2 years after the employee ceases employment 6 years after the employee ceases employment
	3.3	Process that consolidates financial transactions on an annual basis for corporate reporting purposes	Consolidated annual reports and financial statements Statement of financial position Operating statements General ledger	6 years after the conclusion of the financial year in which the record was created
	3.3	Process that supports and consolidates financial transactions on a periodic less than annual basis, superseding those from the previous period. NOT journals, subsidiary ledgers or cash books	Consolidated monthly and quarterly reports & financial statements Working papers for the above Monthly accrual statements Cash flow statements Creditor listings and reports Debtor listings & reports	6 years after the conclusion of the financial year in which the record was created
5.2	3.3	<b>Bank Account Records</b>		
		Cheques and associated records types: - Paid Presented Lists		6 years plus current year
		Statements of presented Cheques Book Butt		6 years after the conclusion of the financial year in which the record was created

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Ref No	File Plan Ref	Function Description	Examples of Records	Retention Periods
		Cancelled Fresh Dishonoured Dishonoured register		
		Stoppage of cheque Payment notices Record of cheques opened books Registers Record of cheques drawn for payment Bank deposits Bank deposit book/slip/butts Bank deposit summary sheets. Summaries of daily banking, cheque schedules Register of cheques lodged for collection Reconciliation files/sheets		6 years plus current
		Daily list of paid cheques Unpaid cheque records		6 years plus current
		Bank statements Periodic reconciliation Bank certificates of balance  Electronic banking and electronic funds transfer Cash transactions, payment instructions, deposits and withdrawals		6 years after the end of the financial year in which the record was created Disposal action should be in line with that for paper records
<b>5.3</b>	<b>3.3.1</b>	<b>Budgets</b>		
		Process of finalising local authorities annual budget	Annual budget	5 years

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Ref No	File Plan Ref	Function Description	Examples of Records	Retention Periods
		Process of developing local authorities annual budget	Draft budgets Departmental budgets Draft estimates	2 years after annual budget adopted by local authorities
		Process of reporting which examines the budget in relation to actual revenue and expenditure	Quarterly statements	Destroy after next year's annual budget has been adopted by Local Authorities
<b>5.4</b>	<b>3.3.1</b>	<b>Loans</b>		
		Borrowing money to enable a local authority to perform its functions and exercise its powers	Loan files	7 years after the loan has been repaid
		Summary management of loans	Loans registers	6 years
<b>5.5</b>	<b>3.5.2</b>	<b>Ledger Records</b>		
		General and subsidiary ledgers produced for preparing certified financial statements or published information		6 years plus current year
		Other ledgers e.g. contracts, costs, purchases, etc		6 years plus current year
		Creditors ledgers		6 years plus current year
		Related records		6 years plus current year
		Audit sheets – ledger postings		6 years plus current year
		Journals prime records for the raising of charges Journals routine adjustments		6 years plus current year
		Trail balances & reconciliation		6 years plus current year
		Year-end balances, reconciliation and variations to support ledger balances and published accounts		6 years plus current year

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Ref No	File Plan Ref	Function Description	Examples of Records	Retention Periods
5.6	3.5	<b>Receipts and Revenue Records</b>		
		Receipt butts/books; office copies of receipts; - includes cashiers', cash register, fines and costs, sale of publications and general receipt books/butts/records		6 years after the conclusion of the financial year in which the records were created
		Postal remittance books/records Receipt books/records for imposts e.g. stamp duty and VAT receipt books/records Irregular remittance books		6 years after the conclusion of the financial year in which the records were created
		Cash registers Butts/copies of cash register forms Cash register reconciliation sheets Cash register audit rolls		6 years after the conclusion of the financial year in which the records were created
		Summaries/analysis records		6 years
		Cash register analysis and summary records Cash register reading books/sheets		1 year
		Cashiers' records Cashiers' handover books		6 years after the conclusion of the financial year in which the records were created
		Revenue records Revenue cash books /sheets/records; receipt cash books/sheets		6 years after the conclusion of the financial year in which the records were created

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Ref No	File Plan Ref	Function Description	Examples of Records	Retention Periods
		Debtors invoices/debit notes rendered on debtors – includes invoices paid and invoices unpaid and registers of invoices – debtors ledgers Source documents/records used for raising of invoices/debit notes Copies of invoices and copies of source documents		6 years after the conclusion of the financial year in which the records were created
		Debts/refunds Records relating to unrecoverable revenue, debts and overpayments – include register of debts written off, register of refunds, etc		6 years after the conclusion of the financial year in which the records were created
<b>5.7</b>	<b>3.3.3</b>	<b>Contract Management</b>		
		<b>- Stores and Services Records</b>		
		Stores records Delivery dockets Stock/stores control cards/sheets/records		2 years
		Stock/stores issue registers/records Stocktaking sheets/records – includes inventories, stock reconciliations, stock take reports  Goods inwards books, records  Purchase order records Purchase order books/records Railway/courier consignment books/records Travel warrants		6 years after disposal of item/asset, or last one in register
		Requisition records Asset registers Assets/equipment		7 years



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Ref No	File Plan Ref	Function Description	Examples of Records	Retention Periods
		Depreciation registers Calculation of annual depreciation		6 years after the conclusion of the financial year in which the records were created
		Financial statements Ad Hoc Statements Statements/summaries prepared for inclusion in the quarterly and annual reports		1 year
		Periodic financial statements prepared for management on a regular basis		2 years Destroy when cumulated into quarterly or annual reports
	<b>3.3.3</b>	Tender Issuing and Return		
		The process involved in the issuing and return of Tender envelope	Opening notices etc (kept as a bundle)	1 year then to depot for 7 years after start of contract
	<b>3.3.3</b>	Evaluation of Tender		
			Evaluation criteria	7 years after contract has been completed
	<b>3.3.3</b>	Successful Tender Document		
			Tender Documents Quotations	7 years after contract has been completed
	<b>3.3.3</b>	Post Tender Negotiation		
		The process in negotiation of a contract after a preferred tender is selected	Clarification of contract Post tender negotiation minutes	7 years after contract has been completed

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Ref No	File Plan Ref	Function Description	Examples of Records	Retention Periods
	<b>3.3.3.</b>	Awarding of Contract		
		The process awarding of contract	Signed contract	15 years after contract has been completed
		Contract operation and monitoring	Service Level Agreements Compliance Reports Performance Reports External Payroll Contracts	7 years after the terms of contract have expired
		Management and amendment of contract	Minutes and papers of meetings <u>Ordinary Contracts</u> Changes to requirements Variation forms Extension of contract Complaints Disputes on payment  <u>Contracts Under Seal</u>	7 years after contract has been completed          15 years after contract has been completed
<b>5.8</b>	<b>3.3.4.1</b>	<b>Insurance Policy Management</b>		
		Summary management of insurance arrangements	Insurance register	Indefinite
		Insuring local authority officers, property, vehicles and equipment against negligence, loss or damage	Insurance policies Correspondence	Indefinite
		Renewing insurance policies	Renewal records Correspondence	5 years after the insurance policy has been renewed
<b>5.9</b>	<b>3.3.4.1</b>	<b>Insurance Claims Management</b>		
		Process that records insurance claims against the local authority or local authority officers	Claims records Correspondence	7 years after all obligations/entitlements are concluded, allowing for the claimant to reach 25 years of age

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Ref No	File Plan Ref	Function Description	Examples of Records	Retention Periods
<b>5.10</b>	<b>3.3.4.2</b>	<b>Expenditure Records</b>		
		Cash books/sheets Expenditure sheets Petty cash records Record/book/sheet/receipts Postal cash book/ sheets, postage/courier account/cash records,	Original documents only – does not apply to duplicates, photocopies etc	6 years plus current year
		Creditors history records, lists/reports		6 years plus current year
		Statements of accounts outstanding, outstanding orders Statement of accounts-rendered; statements of accounts – payable Subsidiary records Copies of abstracts and expenditure dissections		6 years plus current year
		Credit note books Credit notes Debit note books Vouchers – includes claims for payment, purchase orders, requisitions for goods and services, accounts payable invoices, invoices received etc.		6 years plus current year
<b>5.11</b>	<b>3.3.4.3</b>	<b>Payroll</b>		
	<b>3.3.4.3</b>	Accountable		
		Processes relating to payment of employees	Authority sheets	6 years plus current year

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Ref No	File Plan Ref	Function Description	Examples of Records	Retention Periods
			Payroll deduction authorities Payroll disbursement Employee pay records Employee taxation records	
	<b>3.3.4.3</b>	Non-accountable		
		Processes relating to payment of employees	Summary employee pay reports	6 years plus current year
		Bank details – current	History of Changes	6 years after employment has ended
		Death Benefit Nomination and Revocation Forms		
		Death certificates		Return original to provider
		Decree Absolutes		Return original to provider.
		Housing advance		6 years after repayment
		Marriage certificate		Return original to provider
		Unpaid leave periods maternity leave etc		6 years plus current year
		Statutory maternity pay documents		6 years plus current year
		Other maternity pay documentation		6 years plus current year

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Ref No	File Plan Ref	Function Description	Examples of Records	Retention Periods
		Overpayment documentation	Letters	6 years plus current year
		Personal payroll history, including record of pay, performance pay, overtime pay, allowances, pay enhancements, other taxable allowances, payment for untaken leave, reduced pay, no pay, maternity leave		6 years plus current year
		Pension estimates and awards		6 years plus current year
		<p>Full name and date of birth National Insurance Number Pension able pay at leaving Reckonable service for pension purposes and actual service where this is different, together with reasons for the difference Reasons for leaving and new employer's name where known</p> <p>Amount and destination of any transfer value paid</p> <p>Amount and date of any Contributions Equivalent Premium paid Other papers relating to pensionability not listed above e.g. papers about pensionability of other employment including war service; extension of service; widow's, widower's, children and other dependent's pensions; Cabinet Office, other Depts and pension administrator's, or the officer and his/her representatives MP's, unions or others about pension matters.</p>		6 years after termination
		Added years		6 years after termination
		Additional Voluntary Contributions AVC		6 years after termination
		Payroll input forms	Time Sheets Pay Variation Forms	6 years plus current year
		Complete sick absence record showing dates and causes of sick leave		6 years plus current year
		Statutory Sick Pay SSP forms		6 years plus current year

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Ref No	File Plan Ref	Function Description	Examples of Records	Retention Periods
		Disciplinary action which resulted in any changes to terms and conditions of service, salary, performance pay or allowances	Letters Correspondence	6 years plus current year
		Authorisation for deputising, substitution allowance; overtime/travel time claim		6 years plus current year
		Advances for Season tickets		Retain for 6 years after repayment
		Personal Data		
		Welfare papers		6 years after last action
<b>5.12</b>	<b>3.3.4.3</b>	<b>Salaries and Related Records</b>		
		Salary records Employee pay history records NB the last 3 years records must be kept for leavers, in either the personnel or the finance records system, for the calculation of pension entitlement		6 years plus current year
		Salary rates registers Salary ledger cards/records  Copies of salary wages payroll sheets		6 years plus current year
<b>5.13</b>	<b>4.2.3</b>	<b>Grants</b>		
		European Grants ESF	Formal Application Offer Letters Interim Claim Final Claim	10 Years plus current year

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Ref No	File Plan Ref	Function Description	Examples of Records	Retention Periods
			Audit Reports	
		Council Grants to the Voluntary Sector	Annual Grant Applications Offer Letters Monitoring Returns	6 years after the conclusion of the financial year in which the records were created
<b>6</b>	<b>3.7</b>	<b>HUMAN RESOURCES</b>		
<b>6.1</b>	<b>3.7.4</b>	<b>Employee and Industrial Relations</b>		
		Identification & development of significant directions concerning industrial matters	Generic agreements & awards Negotiations Disputes Claims lodged Local Agreements	Delete after last action plus 6 years
		Liaison processes of minor and routine industrial matters	Daily industrial relations management documents	2 years after administrative use is concluded
		Processing of disciplinary and grievances investigations where proved	Disciplinary	Written warnings store on personal file Other records- store in sealed brown envelope on personal file, only senior HR advisor to open.
		Processing of disciplinary and grievances investigations where no case to answer	Disciplinary	Store in sealed brown envelope on personal file, Only Senior HR advisor and above to open
	<b>3.7.6</b>	Summary employment history information <u>The summary information that this record class attempts to capture is: -</u> Name DOB Date of appointment Work history details Position/designation Titles and dates held	Salary Master file Printout IT System Employment Register -Permanent staff Employment Register Temporary staff Employment register- Casual staff Registers of personnel files Personal history cards	Data to be updated Destroy normal retirement age plus 6 years of youngest person within the data set/medium

## APPENDIX 3 To AGENDA ITEM 8

Ref No	File Plan Ref	Function Description	Examples of Records	Retention Periods
			Superannuation history card Salary master record	
	<b>3.7.6</b>	Personnel File Administration of employees to ensure that entitlements and obligations are in accordance with agreed employment requirements	Letter of appointment Letter of acceptance Details of assigned duties Probation reports Personal particulars Educational qualifications Declarations of Pecuniary interests Secrecy undertakings Employment contracts	6 years from date of termination
		Records relating to staff working with children and vulnerable adults		Termination + 25 years as in accordance with current CRB legislation
		All other records		Termination + 6 years
<b>6.2</b>		<b>Security records</b>		
		Security personnel files		5 years after leaving if at normal retirement age or 10 years after leaving if before normal retirement Age
<b>6.3</b>	<b>3.7.5</b>	<b>Health and Safety</b>		
		Records of the development and establishment of the Health and Safety Policy and plans.	Health and safety policies.  Health & safety management strategies.	Superseded + 50 years
		Monitoring health & safety performance.	Health & Safety Audit records  Records of actions to address issues raised.	Completion of audit plus 5 years.
		Recording consultation and communication with employees.	Records documenting the formation,	Life of the Committee or the current



## APPENDIX 3 To AGENDA ITEM 8

Ref No	File Plan Ref	Function Description	Examples of Records	Retention Periods
			proceedings and decisions of safety committees formed under the Safety Representatives and Safety Committee Regulations 1977 or other consultation/communication with employee representatives under the Consultation with Employees Regulations 1996.	year plus 50 years.
<b>6.4</b>	<b>3.7.9</b>	<b>Health: Employees</b>		
		Health referrals, including medical reports from doctors or consultants, correspondence with the appointed medical advisor to the PCSPS currently BMI Health Services, the Civil Service Occupational Health Service or the Medical Advisory Service MAS	Letters Correspondence	5 years after leaving if at normal retirement age otherwise 10 years
		Papers relating to any injury on duty	Incident Reporting Form 2 <sup>nd</sup> Party Claims	3 years
		Medical reports of those exposed to a substance hazardous to health, including: Lead Control of Lead at Work Regulations 1980 Asbestos Control of Asbestos at Work Regulations 1996  Compressed Air Work in Compressed Air Regulations 1996 Radiation Ionising Radiation Regulations 1985		40 years from date at which entry was made. 40 years after last record. 40 years from date of last entry  50 years from date of last entry  4 years
		Medical/Self Certificates – unrelated to industrial injury		3 years
<b>6.5</b>	<b>3.7.9</b>	<b>Risk Assessments &amp; Procedures</b>		
		Assessing the level of work related risk.	Results of risk assessments.	Elimination of the risk, even if superseded records will be retained for at least 5 years from the date created.
		Processes to eliminate or reduce the level of risk to an acceptable limit.	Safe working procedures.	Current year plus 5 years

## APPENDIX 3 To AGENDA ITEM 8

Ref No	File Plan Ref	Function Description	Examples of Records	Retention Periods
			Permits to work.	
		Records of hazardous substances present or in use in the workplace & exposure to them.	Record of hazardous substances present or in use.	40 years from the date created.
		Process to determine the presence of asbestos	Documented assessments to determine the presence of asbestos	Elimination of asbestos plus 5 years.
<b>6.6</b>	<b>1.3.7</b>	<b>Emergency Planning</b>		
		Process to develop the emergency/disaster plan for the local community	Major Incident Plan	5 years
		Process of recording the results of the test for emergency/disaster plan for the local community		10 years after closure
<b>6.7</b>	<b>1.3.7</b>	<b>Major Incidents</b>		
		Activities that report on all major incidents in the local community, whether the emergency plan has been invoked or not		7 years after closure
		Activities that report on all minor incidents in the local community		7 years after closure
<b>6.8</b>	<b>3.7.7</b>	<b>Staff Monitoring</b>		
		Performance	Probation reports Performance plans Supervision notes Appraisal forms	Destroy 6 years after action complete.
		Process of monitoring staff leave and attendance	Jury service Study Leave Special and compassionate leave Attendance books Flexitime sheets Annual leave	Destroy 6 years after action complete.

## APPENDIX 3 To AGENDA ITEM 8

Ref No	File Plan Ref	Function Description	Examples of Records	Retention Periods
		Financial reward		7 years after action completed
		Other strategy		3 years after action completed
		<b>Termination</b>		
		The process of termination of staff through voluntary redundancy, dismissal and retirement	Redundancy Section 188 Redundancy Calculations Death Retirement	6 years after termination. Except for staff working with Children or Vulnerable Adults – keep for 25 years.
<b>6.9</b>	<b>3.7.8</b>	<b>Recruitment</b>		
		The selection of an individual for an established position successful	Advertisements Applications Referee reports Interview reports Right to work in UK	Store on personal file
		The selection of an individual for an established position - unsuccessful	Advertisements Applications Referee reports Interview reports	Destroy one year after recruitment has been finalised
<b>6.10</b>	<b>3.7.8</b>	<b>Training and Development</b>		
		Routine staff training processes, not occupational health and safety or children related	Course individual staff assessment Training Request Forms	Destroy 6 years after termination of employment
		Training concerning children	Course individual staff assessment Training register	35 years after training completed, or last entry
		Occupational health and safety training		50 years after training completed
			Assessments	Assessment records should be destroyed once the training has been renewed every 3 years
		Training course evaluation sheets	“Happy sheets”	Destroy 2 years after action completed

## APPENDIX 3 To AGENDA ITEM 8

Ref No	File Plan Ref	Function Description	Examples of Records	Retention Periods
		Training materials		1 year after course is superseded
		Training proof of completion	Certificates Awards Exam results	7 years after action completed
<b>6.11</b>	<b>3.7.9</b>	<b>Occupational Health</b>		
		The process of checking and ensuring health of staff	Health questionnaire  Medical clearance Risk assessment Referral Form Adjustment to work place Restrictions Recommendations	5 years after leaving if at normal retirement age otherwise 10 years after leaving.
<b>6.12</b>	<b>1.2.4</b>	<b>Equal Employment Opportunities</b>		
		Investigation and reporting on specific cases to ensure that entitlements and obligations are in accordance with agreed Equal Employment Opportunities guidelines policies	Inter-agency monitoring form	5 years after action completed
<b>6.13</b>		<b>Appointments of Statutory Officers</b>		
		Summary management systems that allow the monitoring & management of statutory officers in summary form	Magistrates register	5 years
		Administering employees to ensure that entitlements & obligations are in accordance with agreed employment requirements		6 years after departure from employment
		Appointment of an individual for a statutory position	Appointment Files	6 years after departure from employment
		Selection of an individual for a statutory position	Vacancies & applications records Interview notes Prospective staff records Registers of applicants Unsuccessful applications	2 years after date of appointment
<b>6.14</b>	<b>3.7.6</b>	<b>Employment And Career</b>		
		Written particulars of employment	Contract of Employment	6 years after departure from

## APPENDIX 3 To AGENDA ITEM 8

Ref No	File Plan Ref	Function Description	Examples of Records	Retention Periods
		Including the Certificate of Qualification or its equivalent.	Copy Qualification Docs	employment
		Job history – consolidated record of whole career and location details paper or electronic		6 years after departure from employment
		Current address details		6 years after departure from employment
		Variation of hours – calculation formula for individual		6 years after departure from employment
		Promotion, temporary promotion and/or substitution documentation	Letters	6 years after departure from employment
		Record of previous service dates	Application Form	6 years after leaving at normal retirement age otherwise 10 years after leaving.
		Previous service supporting papers		Destroy after details noted.
		Qualifications		Return to Employee after details noted.
		Annual Assessment Reports		5 years
		Annual Assessment Reports For the last 5 years of Service		Until age 72
		Training history	Training courses attended Professional Qualifications	Part of permanent Employment Record
		Travel and subsistence claims and authorisation	Car Mileage Claims	7 years
		Annual leave records dependent on departmental practice		5 years
		Recruitment, appointment and/or production board selection papers	Short listing Form Interview Form	3 Years
		Building society references		Destroyed once details recorded
<b>7</b>	<b>3.8</b>	<b>Information Management</b>		
		Activity of standards, authorities, restraints and verifications are introduced and maintained to manage information effectively	Classification schemes Registers Indexes File plans	5 years

## APPENDIX 3 To AGENDA ITEM 8

Ref No	File Plan Ref	Function Description	Examples of Records	Retention Periods
		The management of collections of records transferred to the archives	Accession registers Depositor files Complaints Enquiries	5 years
		Recording the disposal of records	Disposal certificates	1 year after last action
		Systems Management		
		Process to develop or extend the capabilities of a system.		Retain for life of system
		Process to implement a system.	Implementation plan	Review 6-12 months after Implementation
		Process to support and administer a system.		5 years after last action
		Policy Documentation	Freedom of Information guidance, Document retention policy	Expiry of policy
<b>8</b>		<b>LEGAL AND CONTRACTS</b>		
<b>8.1</b>	<b>3.9</b>	<b>Litigation</b>		
		The process of managing, undertaking or defending for or against litigation on behalf of the local authority	Criminal case file Childcare case file Civil case file Correspondence	At the discretion of the case officer recorded on the transfer sheet. <b>CHILD CARE CASES RETAINED INDEFINITELY</b>
		The process of providing legal advice on a point of law		At the discretion of the case officer recorded on the transfer sheet. Unless a major precedent, then Offer to Archivist for review
<b>8.2</b>	<b>3.9.1</b>	<b>Agreements</b>		
		Process of agreeing terms between organisations Note: this does not include contractual agreements	Concordat	At the discretion of the case officer recorded on the transfer sheet.
	<b>3.9.1</b>	Conveyance - see also Property Acquisition and Disposal		

## APPENDIX 3 To AGENDA ITEM 8

Ref No	File Plan Ref	Function Description	Examples of Records	Retention Periods
		The process of changing ownership of land or property	Conveyance files	At the discretion of the case officer recorded on the transfer sheet.
	<b>3.9.1</b>	Specification and Contract Development		
		The process involved in the development and specification of a contract	Tender specification Note: For project files containing drafts leading to a final version these records can be destroyed. LSP Business Plans	At the discretion of the case officer recorded on the transfer sheet.
<b>8.3</b>	<b>3.10</b>	<b>Rates &amp; Local Authorities Tax Correspondence</b>		
		The activity of corresponding with ratepayers in relation to valuations, rates and charges, objections, submissions, appeals, rate remissions and other rates related matters.	Notices Objections Applications Correspondence Rate certificates Notices of acquisition and disposition Rate property files	7 years after last action
<b>8.4</b>	<b>3.10</b>	<b>Summary Assets Management</b>		
		See Property Management for real property assets. See Transport Management for vehicle assets.		
		Summary management reporting on the overall assets of the local authorities	Schedules of acquisitions Consolidated current asset reports Annual reports Summary of current assets Asset registers	5 years  6 years after disposal of item/asset or last one in register
		The valuation of rateable land within a municipal district for the purpose of the making of the rate	Valuation lists Correspondence Objections	Valuation lists-Permanent. 10 years after the year in which the valuation was made

## APPENDIX 3 To AGENDA ITEM 8

Ref No	File Plan Ref	Function Description	Examples of Records	Retention Periods
			Reports	
<b>8.5</b>	<b>3.9.2</b>	<b>Registrars of Births Deaths &amp; Marriages</b>		
		Process of the summary registration of a birth, death or marriage	Deaths register Births register counterfoils Marriage register	Retain Indefinitely
		Process of certification of the registration of a birth, death or marriage	Birth certificate Death certificate Marriage certificate	2 years after last action
<b>8.6</b>	<b>3.9.2</b>	<b>Marriage Services</b>		
		Process of conducting a marriage service	Individual marriage ceremonies	Destroyed after ceremony
		Notices – process of notification in relation to marriages	Notice of marriage book Notices of marriage	Retain Indefinitely 5 years after last action
<b>9</b>	<b>2</b>	<b>CHILDREN AND LEARNING</b>		
<b>9.1</b>	<b>2.3</b>	<b>Looked after Children</b>		
		Individual case management of children looked after by the local authority. Includes children and young people Adopted via the local authority in children's home Fostered by local authority On custodian orders On residence orders	Young persons being looked after files. Looked after children client files Residential care children's files Adoption files Privately fostered children's file Guardian CAFCASS files Guardian ad item	75 years from 18 <sup>th</sup> Birthday or if the child has died before attaining the age of 18, a period of 15 years beginning with the date of his or her death
		Individual cases involving initial assessment and provision of advice in relation to Child Protection	Child assessment files with no further action after initial advice	5 years from closure of file
		Case management of adults convicted of Schedule 1 offences	Schedule 1 Offenders List	75 years



## APPENDIX 3 To AGENDA ITEM 8

Ref No	File Plan Ref	Function Description	Examples of Records	Retention Periods
		All records relating to children subject to child protection investigation	Child protection case files Conference minutes Core assessment Investigation Registration Section 47 Investigations	25 years from closure
<b>9.2</b>	<b>2.3</b>	<b>Children's Services – General</b>		
	<b>2.3</b>	Children in need who have not been the subject of a child protection inquiry		10 years from closure 25 years in relation to Bullying
	<b>2.3</b>	Individual case management of services or support to unaccompanied minors e.g. Asylum Seekers if not 'looked after'		10 years from closure
	<b>2.3</b>	Individual case management of youth offenders	Youth Justice	Retained by Youth Offending Service for 6 months after involvement. Then for 25 years from DOB or 10 years after last contact
<b>9.3</b>	<b>2.3</b>	<b>Children in Residence</b>		
		Individual case records	Child's personal details, absences from the home, visitors, statement of special educational needs, date and circumstances of control, restraint or discipline, dietary and health needs, school/college attended, school report, restrictions on contact, care plan, reviews, health, medication, valuables	
		Other records	Register of children accommodated, persons working in home, persons residing in home, accidents, medication, fire drills, safekeeping money, valuables, accounts, menus,	15 years

## APPENDIX 3 To AGENDA ITEM 8

Ref No	File Plan Ref	Function Description	Examples of Records	Retention Periods
			staff rosters, daily logs, visitors	
	2.3.6	Approval of Foster Carers	<p>Records of Application to become Foster Parents which were REFUSED</p> <p>Case Records for each Foster Parent</p> <p>Payment Records</p>	<p>Complaints Records</p> <p>Details of Persons working for the Adoption Service</p> <p>3 years from date of refusal or withdrawal</p> <p>10 yrs from when approval or placement is terminated</p> <p>If Foster Parent file contains any adverse comments then "DO NOT DESTROY THE FILE BEFORE ....." should be clearly displayed in front of file and retained for at least 75 years from the date fostering commenced.</p> <p>2 years</p>
		Process that records injuries, ill-health, dangerous occurrences and notifiable diseases affecting/involving children.	<p>Accident book records.</p> <p>Accident reports.</p> <p>Incident reports.</p> <p>Work related Ill-health reports.</p> <p>Notifiable diseases reports.</p>	Until the child has reached the age of 21.
9.4	2.4.5	<b>Schools</b>		
		Administration	Minutes of the Senior Management Team and other internal administrative meetings	Date of meeting + 3 years

## APPENDIX 3 To AGENDA ITEM 8

Ref No	File Plan Ref	Function Description	Examples of Records	Retention Periods
			Annual Parent's meeting papers  Instruments of Government Trusts and Endowments  Records created by Staff who have administrative responsibility  Correspondence created by Staff who have administrative responsibility	Date of meeting + 6 years  Permanent  Closure of File + 6 years  Date of Correspondence + 3 years
		Complaints	Correspondence and Papers relevant to the Complaint	Date of resolution of complaint + 6 years
		Reports Proposals and Plans	Annual Report required by Dept for Education and Skills  PMF and SSG. Select Committee monitoring reports  School reports – Booklets, Inspector Contact Records PANDA Reports  Proposal Documents for a school to become a Specialist Status School  Professional development plans  Action Plans	Date of report + 10 years  Date of Report + 3 years  Current year + 6 years  Current year + 3 years  Closure + 5 years  Date of Plan + 3 years
		Results	Examination results SATS FSP, FFT, KEYPAS, EPAS	Current year + 6 years

## APPENDIX 3 To AGENDA ITEM 8

Ref No	File Plan Ref	Function Description	Examples of Records	Retention Periods
		Admissions and Attendance	School transfer records  Attendance Returns  Secondary Transfer Sheets (primary)	+ 6 years  Current year + 1  Current year +2
		Special Educational Needs, Statements and Advice	Special Educational Needs Central records  Statement maintained under The Education Act 1996 S 324 Proposed or Amended Statement  Advice and information regarding educational needs	Up to 28 years of age of pupil  DOB + 28 years  Closure + 12 years
		Miscellaneous	Any other records created in the course of contact with pupils (Except Child Protection records – see Social Services pages)  Value added records	Current year + 3 years  Current year + 6 years
		Strategy	Accessibility Strategy  Curriculum Development  Curriculum Returns	Closure + 12 years  Current year + 6 years  Current year + 3 years
		OFSTED	Reports and related papers  Circulars from DFES/OFSTED - Assessment Arrangements	Replace former report with any new inspection report  Current year + 6 years  Whilst Operationally required
10	5.3	ADULT SOCIAL CARE		

## APPENDIX 3 To AGENDA ITEM 8

Ref No	File Plan Ref	Function Description	Examples of Records	Retention Periods
10.1		<b>Care management</b>		
	5.3.5	Records involving an adult protection investigation		7 years
	5.3.5	Older People		7 years after contact has ceased or death
	5.3.5.2	Care Homes	Statement of purpose, service user's guide, all accounts, persons employed, care home charges, inspection records, duty rosters, money and valuables, furniture bought by service user, accidents, food provided, fire practice, visitors records  Individual service user records	3 years from date of last entry  Forwarded to locality offices to be amalgamated with case files to be retained for 7 years
		Homecare	Details of physical restraint, allegations of abuse and investigations, information provided to the CSCI for registration  Individual service user plans and records	3 years from date of last entry  To be amalgamated with case file and retained for 7 years.
	5.3.6.1	Visual Impairment	Registration documents	To be retained until the person (a) Leaves the area - send to new local authority Or (b) Dies
11	4	<b>ENVIRONMENT AND REGENERATION</b>		
11.1	4.2	<b>Site &amp; Equipment Safety</b>		
		Process of monitoring land, buildings, facilities or operations for	Site & safety inspection records.	Current year plus 5 years.

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Ref No	File Plan Ref	Function Description	Examples of Records	Retention Periods
		purposes of ensuring health and safety.	Records of actions to address issues raised.	
		Monitoring work equipment for purposes of ensuring health and safety.	Equipment repair log.  Records of the issue of protective equipment.	Date of examination, test or repair plus 5 years.
		Process of ensuring equipment provided to control exposure to substances hazardous to health remains effective	Examination records.  Testing records.  Repair records.	Date of examination, test or repair plus 5 years.
		Process of ensuring equipment provided to control exposure to asbestos remains effective	Examination records.  Testing records.  Repair records.	Date of examination, test or repair plus 5 years.
		Process of monitoring land, buildings, facilities or operations for purposes of ensuring health and safety.	Site & safety inspection records.  Records of actions to address issues raised.	Current year plus 5 years.
		Monitoring work equipment for purposes of ensuring health and safety.	Equipment repair log.  Records of the issue of protective equipment.	Date of examination, test or repair plus 5 years.
<b>11.2</b>		<b>Accidents</b>		
		Process that records and notifies the HSE of injuries, ill health, dangerous occurrences and modifiable diseases affecting/involving adults.	Accident book records.  Accident reports.  Incident reports.	The date of recording or HSE notification plus 3 years.

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Ref No	File Plan Ref	Function Description	Examples of Records	Retention Periods
			Work related Ill-health reports. Notifiable diseases reports.	
		Process that records injuries, ill-health, dangerous occurrences and notifiable diseases affecting/involving children.	Accident book records. Accident reports. Incident reports. Work related Ill-health reports. Notifiable diseases reports.	Until the child has reached the age of 21.
		Investigation of accidents, dangerous occurrences and notifiable diseases.	Investigation reports.	40 years from the closure of the investigation.
			Witness Statements.	12 years from the date created.
<b>11.3</b>	<b>4.4.3</b>	<b>Planning &amp; Development</b>		
		Developing a vision and strategic directions regarding existing transport and infrastructure	Structure Plan Local Transport Plan	5 years
		Recording location of highways, bridle paths and rights of way	Definitive map Correspondence concerning enquiries and disputes	5 years
		Establishing planning scheme controls and providing for them to be amended and modified	Amendments to definitive map Road adoption	5 years
		Receiving, considering and responding to submissions and objections to planning schemes and amendments	Enquiries, consultation documents, objections and correspondence	7 years after decision. Offer controversial/high profile schemes to Archivist
		Enforcing infrastructure and transport regulations		50 years after enforcement notice. Destroy 3 years after compliance with

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Ref No	File Plan Ref	Function Description	Examples of Records	Retention Periods
				enforcement notice
<b>11.4</b>	<b>4.2.5</b>	<b>Transport Management</b>		
		Acquisition and disposal of vehicles through lease or purchase	Leases, Contracts, Quotes, Approvals Fleet authorisation numbers	7 years after the disposal of the vehicle
		Managing allocation & maintenance of vehicles	Approvals as drivers Allocations & authorisations for vehicles Maintenance	7 years after the sale or disposal of the vehicle
		Recording vehicle usage	Vehicle usage reports	3 years after the sale or disposal of the vehicle
		Recording drivers usage	Vehicle log book	7 years after closure
<b>11.5</b>	<b>4.2.7</b>	<b>Traffic Management</b>		
		Planning, and programming the continued flow, diversion or reduction of traffic	Traffic orders	7 years after action completed
<b>11.6</b>	<b>4.2.7</b>	<b>Design and Construction</b>		
		Planning, designing, programming and constructing roads, streets, bridges and tunnels		5 years
<b>11.7</b>	<b>4.2.7</b>	<b>Highways Maintenance</b>		
		Providing municipal services in relation to infrastructure within the local authority	Street files Street records Requests for: Hedge clipping Tree planting Naming of streets Numbering of houses	7 years after last action



## APPENDIX 3 To AGENDA ITEM 8

Ref No	File Plan Ref	Function Description	Examples of Records	Retention Periods
			Street road limits Street signs Bus shelters Applications to dig up pavements HGV application Advice/comment Level crossings Right of ways Roundabouts Traffic calming measures Street lighting	
	4.2.1	Maintaining and repairing roads, streets, bridges, bridle paths, rights of way and tunnels New Roads and Streetworks Act	Streetworks Register Digital Photographs Paper Inspection Records Electronic transfer of information from Utilities	12 years after action completed
		Disabled Persons Parking Badge	Application forms	2 years after the badge has expired
11.8		<b>Photographic and Image records</b>		
		Catalogues of photographs  Prints and negatives  Site photographs  Work in progress Completed works  Publicity photographs		Review 10 yrs after compilation  Review 25 yrs after date of last entry  Review 10 yrs after project or event  Review 16 yrs after project or event  Review 25 yrs after project or event

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Ref No	File Plan Ref	Function Description	Examples of Records	Retention Periods
11.9		<b>Licensing</b>		
	4.3.1	Administration of applications, registration, certification and licences in relation to local authority licensing requirements	<p>Applications for: -</p> <p>Premises Licences (Licensing Act 2003)</p> <p>Personal Licences (Licensing Act 2003)</p> <p>Taxicab and Private Hire Drivers Licences</p> <p>Taxicab and Private Hire vehicle Licences</p> <p>Gaming and Lottery Licences Street Trading Licences Animal registration</p>	<p>Retain records indefinitely</p> <p>2 years after expiry</p> <p>2 years after registration or entitlement lapses</p> <p>Review after 6 years</p> <p>2 years after expiry</p>
	4.3.1.4	Licensing sites for the holding or use of toxic or hazardous substances. Including petroleum, agricultural chemical products or herbicides	<p>Diesel licences</p> <p>Petroleum licences</p> <p>Health &amp; safety licensing</p> <p>Hazardous substances</p> <p>Contaminated land register/pollution</p>	5 years
		Summary management systems that allow the monitoring & management of registration, certification and licences registration requirements in summary form	E.g. Visual impairment register	5 years
		Registration of homes or carers for the care and support of children, in the responsibility of the local authority	<p>Organisation files</p> <p>Child carers files</p> <p>Childcare registration</p> <p>Day care registration</p> <p>Children's home</p>	5 years
11.10	4.7.3.1	<b>Cemeteries &amp; Crematoria</b>		
		Summary management systems that record the location of burials and	Register of interments	Burial records kept for 100 years

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Ref No	File Plan Ref	Function Description	Examples of Records	Retention Periods
		identity of deceased individuals	Cemetery register Cemetery plans	
<b>11.11</b>		<b>Notification</b>		
		Issuing notices to citizens with respect to particular responsibilities	Fire Prevention and infringements notices Objections to notices Appeals against Notices Registration of premises Infringement notices Animal impounding notices	2 years after the matter is concluded
<b>11.12</b>	<b>4.3.</b>	<b>Investigation, Inspection and Monitoring</b>		
		Investigation, monitoring or inspection laws in the responsibility of the local authority	Trading standards sample and inspections records Fire certificate compliance inspections	7 years from closure of property
<b>11.13</b>	<b>4.3</b>	<b>Prosecution</b>		
		Prosecution or sanction of an individual or organisation for failing to comply with their legal responsibilities	Prosecution/sanction files	7 years from last action
		The process of making local laws	Master set of bye-laws Policy development docs Correspondence Submissions	5 years
		Administration & Enforcement		
		Administering and enforcing conditions of licence/permissions and bye-laws	Applications and certificates Permits Licences Infringement notices parking Correspondence re complaints	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
		Anti-Social Behaviour Cases	Interviews Records Incident Diaries (logs) Written, photographic and video	10 years

## APPENDIX 3 To AGENDA ITEM 8

Ref No	File Plan Ref	Function Description	Examples of Records	Retention Periods
			evidence ASB Case Conference minutes Witness Statements Memorandums of legal advice Applications for Legal Orders Court orders	
<b>11.14</b>	<b>4.4.</b>	<b>Planning Development and Land Use</b>		
		Planning consents and correspondence		
		Alterations to buildings New buildings		Review 25 years after issue
		Listed buildings consents and correspondence		Review 25 years after issue
		Correspondence Consultants and Contractors		Review 16 years after date of last paper
		Statutory authorities		Review 25 yrs after date of last paper
		Utility and communication companies		Review 16 yrs after date of last paper
		The summary management of planning scheme regulation	Building control registers	Offer to County Archivist Transfer to place of deposit after administrative use is concluded
		Regulating the planned use of land or buildings		15 years after closure
		Approving building applications in relation to listed or other significant buildings	Building files and Plans Specifications Applications Permits Certificates	
		Approving building applications, for all other buildings	Building files and Plans Specifications Applications Permits Certificates Objections	15 years after construction completed

## APPENDIX 3 To AGENDA ITEM 8

Ref No	File Plan Ref	Function Description	Examples of Records	Retention Periods
		Consultation to gain approval for the structure Plan Unitary Development Plans or Local Plans	Consultation docs and replies Inquiries and Objections Public Inquiry documents	15 years
		Recording information on historical buildings monuments and ecology at a specific site	Sites & Monuments Ecological & Species records Historically listed buildings Definitive map Commons registration	In Perpetuity refer archaeological issues to Museum Services
		Establishing planning scheme controls and providing for them to be amended	Successful Waste Planning application Successful Mineral Planning applications Amendments to definitive map Mineral Register Applications for mineral extraction Land use surveys	5 years refer archaeological issues to Museum Services
		Receiving, considering and responding to submissions and objections to planning schemes and amendments	Waste Planning application consultation Mineral Planning applications consultation Objections & Inquiries-Public Archaeological: Advice/conditions	15 years after decision. Offer controversial/high profile schemes to County Archivist
		Controlling development of areas through applications for planning permission	Planning application files and plans Correspondence regarding any objections Hearing papers Planning application register	Transfer planning application register to County Archivist at arranged intervals if it is held electronically Refer all other records to County Archivist for sampling
		Maintaining the countryside and developing open spaces for public	Tree preservation orders	Refer all files relating to policy to the

## APPENDIX 3 To AGENDA ITEM 8

Ref No	File Plan Ref	Function Description	Examples of Records	Retention Periods
		amenity	Parks Development plans and correspondence Land purchase agreements	County Archivist  Destroy other files 7 years after administrative use is concluded
<b>11.15</b>	<b>4.7.4</b>	<b>WASTE MANAGEMENT</b>		
		Providing hard waste removal, destruction and waste reduction services		
	<b>4.7.4.1</b>	- Collection		
		Collection or transportation of household waste		2 years after last action
		Collection or transportation of controlled waste		6 years after last action
	<b>4.7.4.2</b>	- Disposal of Waste		
		The summary management of sites used for the disposal of waste within the local authority		5 years
		Short-term storage of household waste	Transfer sites	10 years after site closure
		Managing the use, type and amount of waste to be disposed at a specific site	Waste site plans	5 years
<b>12</b>	<b>5.1</b>	<b>HOUSING</b>		
<b>12.1</b>		<b>Housing Management</b>		
		Process of offering financial help with welfare housing provision and maintenance		
		Mortgages	Mortgage agreements Correspondence	Last payment + 6 years if signed Last payment +12 years if unsigned
		“Right to Buy”	Sale documents Agreement concerning sale	12 years after sale of house
		Rent payments	Rent books Correspondence concerning payment Requests for payment	7 years after the end of the financial year in which created
		Home improvement Grants	Agreement to pay loan Details of payments Loan	6 years after last payment for grants under £50,000 12 years for over £50,000 Offer plans to archivist if detailed

## APPENDIX 3 To AGENDA ITEM 8

Ref No	File Plan Ref	Function Description	Examples of Records	Retention Periods
<b>12.2</b>	<b>5.1.1</b>	<b>Property History</b>		
		Recording of information for rateable properties identifying the person or company rated, value of the property. Note: records containing primarily accounts information and not being a source of property history, should be disposed of according to the appropriate record class within the Accounts & Audit function	Rate books Rate cards Register of rateable properties	7 years Tenants Details 20 years
<b>12.3</b>	<b>5.1.1</b>	<b>Asset Monitoring and Maintenance</b>		
		Management systems that allow the monitoring & management of assets in summary form	Subsidiary asset registers	10 years after the conclusion of the financial transaction that the record supports
		Reporting and reviewing assets status	Routing returns & reports on asset status Inventories Stocktaking Surveys of usage Acquisition and disposal reports & proposals	2 years after administrative use is concluded  2 years
		Process of maintaining assets	Garden maintenance Cleaning Painting	7 years after last action
		Process of maintaining plant & equipment	Service records Plant files	7 years after sale or disposal of asset
<b>12.4</b>	<b>5.1.1</b>	<b>Property Development and Renovation</b>		
		Managing and undertaking renovations & development of property		6 years after the end of the financial year in which the records were created
		Management of Buildings and estates of "special interest"	Project specifications Plans Installation of manuals Certificates of approval	6 years after the end of the financial year in which the records were created

## APPENDIX 3 To AGENDA ITEM 8

Ref No	File Plan Ref	Function Description	Examples of Records	Retention Periods
		Management of all other buildings and estates	Project specifications Plans Installation manuals Certificates of approval	Retain for life of property or building
		Process of development and renovation of property	Work orders Tender documents Conditions of contracts	7 years after the conclusion of the transaction that the record supports
		Schedules of known tenant alterations		Retain until property sold
<b>12.5</b>	<b>5.1.1</b>	<b>Housing and Other Contracts</b>		
		Tender and evaluation board papers Claim and Arbitration Files		Review 7 years after contract Review 25 yrs after Settlement
		Meetings with contractors		
		Agenda, minutes etc, record set  Agenda, minutes etc, other copies Drafts, domestic arrangements etc		Review 5 years after date of meeting  3 years after date of meeting
		Forward maintenance registers FMR		Review 16 years after date of last entry
		Asbestos registers S1 1992, No 3068		Review 40 years after date of last entry
		Asbestos incidents-correspondence, reports and papers		Review 30 years after date of event
		Title deeds and other documents relating to freehold property – not public records		Transfer to new freeholder on disposal
		Leases signed copies		16 years after expiry
		Memoranda of terms		16 years after expiry
		Subletting agreements		12 years after termination
		Way leave agreements		PMP10 retain until property sold.
		Landlord's consents		16 years after surrender, expiry or termination of lease
		Licences		16 years after surrender, expiry or termination of lease
<b>12.6</b>	<b>5.1.3</b>	<b>Tenancy Agreements</b>		



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Ref No	File Plan Ref	Function Description	Examples of Records	Retention Periods
		The process of awarding tenancies in welfare housing	Signed tenancy agreements Sealed tenancy agreements	3 Years after tenant leaves or contract concluded.
	<b>5.1.3</b>	- Housing provision		
		The process of managing local authority housing stock	Stock monitoring records	4 years after last action
		Allocation and management of social housing and the associated issues of homelessness	Homeless Applications All letters/information relating to homeless application	2 years after last communication
		Registration of individuals housing applications	Council Housing Register	Indefinitely
		Process for applying for council housing: Unsuccessful applications only	Council housing application forms and supporting material Application for transfer of tenancy and supporting papers	7 years after closure
		Housing Maintenance Records & Improvement Schemes	Records of schemes for improvement of schemes	7 years after closure
		Managing the tenancy of an individual tenant	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	3 years after termination of tenancy assuming all debts are cleared; however financial information kept for 6 years



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