

Retention Schedule for Dacorum Borough Council



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Author:	John Worts	Revision No:	Rev 3.22	Rev. Date:	12th April 2023

Introduction by the Keeper of Public Records

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

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

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

Sarah Tyacke

Keeper of Public Records

1. Establishment of the Guidelines

1.1.0 Scope of the Guidelines

- 1.1.1 These Retention Guidelines have been issued to support local authorities in the areas of the UK General Data Protection Regulations (UK GDPR) Data Protection Act 2018, Freedom of Information Act 2000 and the Local Government Act 2003. It has been issued by the Records Management Society of Great Britain after consultation with a number of local government authorities, their agencies and other experts in the field.
- 1.1.2 The Guidelines were developed to reflect an understanding of the administrative processes that give rise to record creation. This is intended to make the Guidelines independent of any particular format of record that might be historically created (e.g. card, register) or media (e.g. paper, electronic) and prolong the Guidelines' period of application.
- 1.1.3 The Guidelines are intended to cover the continuum of records and information from creation through to destruction or for retention for historical or research purposes.
- 1.1.4 Records sentenced for destruction under the Guidelines may be destroyed in accordance with the provisions of the Guidelines. Backup copies stored on alternative media (server/microfilm/paper) should also be destroyed. This is vital to ensure compliance with the requirements of UK GDPR / Data Protection (specifically GDPR Article 5 (1) (e) and Freedom of Information legislation. (FOI Code of Practice – Section 46)
- 1.1.5 The local authority or the agency acting for it should hold notification of the records destroyed in accordance with the Guidelines on its behalf. See Section 2.12 for how long these should be kept.
- 1.1.6 Records for permanent preservation should be passed to the local authority's Archivist or its agency's place of deposit. In most cases this will be the appropriate local Record Office.

1.2.0 Limitation of Scope

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

1.3.0 Objectives of the Retention Guidelines

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

1.4.0 Transfer of Records to Archival Storage

1.4.1 Local authorities wishing to transfer permanent records to archival custody should contact the Archivist/Local History Officer at the appropriate County Record Office/Archive for further information on transfer procedures. The collection policies of individual archives vary; the identification of classes of records here as suitable for archives are for guidance only. The contact details for Hertfordshire County Archives are as follows;

Hertfordshire Archives and Local Studies

(<http://www.hertsdirect.org/services/leisculture/heritage1/hals/>)

Telephone: 0300 123 4049

Email: hertsdirect@hertfordshire.gov.uk

1.4.2 The Data Protection Act provides an exemption for information about identifiable living individuals that is held for research, statistical or historical purposes to be held indefinitely, provided specific requirements are met. It is the responsibility of the Archivist to ensure that this is so.

1.4.3 Records identified in this schedule as '**permanent**' are marked '**Offer to Archivist**'. The Archivist may choose to select a sample of the records for permanent preservation in the archives; the remainder should be destroyed as specified in the Guidelines. The sample may be random, selective or purposeful.

1.4.4 '**Offer to Archivist for review**' is used to indicate record classes where the Archivist will not usually be interested in retaining the class of records, but may wish to retain those concerning high profile or controversial policies/projects.

1.4.5 Records no longer required for administrative use may still retain sensitive information. The Archivist should be informed of sensitivity at the time of transfer of the material to the archives, and an appropriate closure period agreed. The closure period should comply with Freedom of Information legislation and the authority's policy.

1.5.0 Enactment of Standard for a Local Authority

1.5.1. As there is no legal basis for the enforcement and support of these Guidelines, each local authority needs to ensure that the actions shown in the Guidelines are ratified internally within the local authority or its agency.

1.5.2. Ratification can be achieved by obtaining signatures of the Chief Executive and or Internal Audit.

1.5.3. This Retention and Disposal Schedule has been authorised by

Signature of the Chief Executive Officer

Claire Hamilton

1.6.0 Destruction of Records

- 1.6.1 Whenever there is the possibility of litigation, the records and information that are likely to be affected should not be amended or disposed of until the threat of litigation has been removed.
- 1.6.2 When records identified for disposal in the Guidelines are destroyed, a register of such records needs to be kept. For records not covered by the Guidelines contact your record management service, legal department or suitable experienced sources for further advice. It is not sufficient to document that a quantity of records had been destroyed on a certain date. Enough details should be retained to identify which records have been destroyed. Contact the Legal Governance department on 01442 228538 for more details. A Form to complete for records destruction is available here;
<http://dennis/Docs/Documents/Forms/AllItems.aspx?RootFolder=%2FDocs%2FDocuments%2FInformation%20Management%20and%20Security%2FProcedures%20and%20Guidance%2FRecords%20Management>

1.7.0 Standard Operating Procedure (SOP)

- 1.7.1 There are some records that do not need to be kept at all; Standard Operating Procedure defines types of records which staff may routinely destroy in the normal course of business. However, the retention and disposal schedule must still contain reference and instructions referring to them.
- 1.7.2 SOP usually applies to information that is duplicated, unimportant or only of short-term facilitative value. Unimportant records or information include:
- 'with compliments' slips
 - catalogues and trade journals
 - telephone message slips
 - non-acceptance of invitations
 - trivial electronic mail messages or notes that are not related to agency business
 - requests for stock information such as maps, plans or advertising material
 - out-of-date distribution lists
 - working papers which lead to a final report
- 1.7.3 Duplicated and superseded material such as stationery, manuals, drafts, forms, address books and reference copies of annual reports may be destroyed under SOP. Electronic copies of documents where a hard copy has been printed and filed, and thermal paper facsimiles after making and filing a photocopy, are also covered.
- 1.7.4 SOP should not be applied to records or information that can be used as evidence – to prove that something happened. If you are in doubt about what information is required consult with your legal unit.
- 1.7.5 All of these may be destroyed by standard operating procedure that should be part of any ISO 9000 (Quality Management) system if applicable.

1.8.0 Reviewing the Schedule

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

1.9.0 Further Information

- *Records Management Society of Great Britain* <https://irms.org.uk>
- *National Archives* <http://www.nationalarchives.gov.uk/>
- *Society of Archivists* <https://www.archives.org.uk/>
- *Information Commissioner* <https://ico.org.uk/>

2. Explanation of Retention Guidelines Headings

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

2.1.0 Reference number

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

2.2.0 Function

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

2.3.0 Function Description

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

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

2.4.0 Retention Action

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

2.5.0 Examples of Records

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

Notes

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

2.7.0 Glossary of terms

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

Closure. ' Destroy 'x' years from closure '. A record/file is closed when it ceases to be active. After closure, no new papers/information should be added to the record. Triggers for closure of a file include: reaching an unmanageable size; covering a period of 'x' years or more; no records added for 'x' period of time; no action taken after 'x' period of time.

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

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

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

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

Place of deposit. Usually the local authority's off site storage supplier

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Democratic Services

Ref No.	Function Description	Retention Action	Examples of Records	Notes
Elections				
Preparation				
1.1	Summary certification of those eligible to vote	Permanent	Register of Electors	Common practice
1.2	Certification of those eligible to vote	Destroy after 1 year	Annual canvass forms, rolling registration forms, overseas electors and service voters	Common practice
1.3	Absent voters	Destroy after application expires	Postal voting, proxy voting and postal/proxy voting forms	Statutory
1.4	Voting (Local elections only)	Destroy 6 months from close of poll	Ballot papers, counterfoils, ballot paper accounts, tendered votes lists, certificates as to employment, lists of votes marked by Presiding Officer	Statutory
1.5	Voting (European elections only)	Destroy 1 year from close of poll	As above	Statutory
Results				
1.6	Declaration of results (local elections only)	Destroy 6 months from date of election	Consolidated returns of votes received	Statutory
Election expenses				

Democratic Services

Ref No.	Function Description	Retention Action	Examples of Records	Notes
1.7	Returns & Declarations as to election expenses	Destroy after 2 years unless candidate or election agent request them back after this time	Returns & Declarations as to election expenses by agents and candidates	Statutory
	Council and Committee Meetings			
1.8	The process of preparing business for Council consideration and making the record of discussion, debate and resolutions	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> ▪ Council minutes ▪ Council agenda and business papers ▪ Council notice papers and proceedings ▪ Indexes ▪ Committee minutes ▪ Registers of delegations to Special Committees 	Common practice
1.81	Minute taking	Destroy after date of confirmation of the formal minutes.	<ul style="list-style-type: none"> ▪ Draft/rough minutes ▪ Audio tapes 	Common practice
1.181	Minute Taking (Video or Audio Recording)	Destroy after 3 months or once transcribed minutes have been formally ratified.	<ul style="list-style-type: none"> ▪ MS Teams recordings of meetings 	Audio / Video Recordings of meetings cost the Council in terms of editing and ICT overheads.
1.82	Council Constitution	Destroy 2 years after superceded		

Democratic Services

Ref No.	Function Description	Retention Action	Examples of Records	Notes
	Partnership, Agency and External Meetings			
1.9	The process of preparing business for partnership and agencies consideration and making the record of discussion, debate and resolutions, where the local authority legally owns the record.	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> ▪ Documents establishing the committee ▪ Agendas. ▪ Minutes ▪ Council reports ▪ Recommendations ▪ Supporting documents such as Council briefing and discussion papers. 	Common practice
1.91	The process of preparing business for external committees' consideration, and making the record of discussion, debate and resolutions, where the local authority does not own the record.	Destroy 3 years after last action	<ul style="list-style-type: none"> ▪ Documents establishing the committee ▪ Reports. ▪ Recommendations ▪ Supporting documents such as briefing and discussion papers. 	Common practice
1.92	Members Attendance Registers	Destroy 6 years after end of current financial year		
1.92.1	Members Declaration of Financial Interests Honours and Submissions	Length of term in office plus 6 years.		

Democratic Services

Ref No.	Function Description	Retention Action	Examples of Records	Notes
1.93	The process of preparing of honours submission	Destroy 5 years after last action	<ul style="list-style-type: none"> ▪ Honours nomination form ▪ Covering documentation ▪ Letters of support ▪ Referral for comment from lord lieutenant 	Common practice
	Political parties papers			
1.94	The process of undertaking representation of the local authority - local authority representatives	Destroy 3 years after last action	<ul style="list-style-type: none"> ▪ Leader of opposition papers ▪ Leader of council papers 	Common practice
1.95	Members Declarations	Destroy 2 years after member has left office		

Management and Administration

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	Corporate planning and reporting			
2.1	The corporate planning and reporting activities of local authorities	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Corporate Plans • Strategy Plans • Business Plans • Annual Reports 	Common practice
2.2	The process of preparing business for strategic consideration and making the record of discussion, debate and resolutions	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Strategic management team minutes 	Common practice
2.21	The process of internal decision making that contributes to Council process / policy / initiatives and is subsequently finalised	Destroy 3 years from policy / procedure / initiative being finalised	<ul style="list-style-type: none"> • • 	Common Practice

Management and Administration

2.3	The process of preparing business for cross departmental consideration and making the record of discussion, debate and resolutions	Destroy 3 years from closure		Common practice
2.4	The process of preparing business for Unit/Team consideration and making the record of discussion, debate and resolutions	Destroy 3 years from closure		Common practice
2.5	Statutory returns The process of preparing information to be passed on to central government as part of statutory requirements	Destroy 7 years from closure	<ul style="list-style-type: none">• Reports to central government	Common practice

Project Management

Management and Administration

2.51	The process of setting up a project board, creation of project documents	Destroy 7 years from project closure / lessons learned sign off	<ul style="list-style-type: none"> • PID • Business Case • Risk Register • Highlight Report 	To comply with statutes of Limitation Act 1980 as most Projects will have a financial implication.
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2.6	<p>Policy, Procedures, Strategy and Structure</p> <p>Activities that develop policies, procedures, strategies and structures for the local authorities</p>	<p>Permanent. Offer to Archivist.</p> <p>Transfer to place of deposit after administrative use is concluded.</p>	<ul style="list-style-type: none"> • Policy, procedure, precedent, instructions • Organisation charts • Records relating to policy implementation and development • Education plan • Asset management plan • Children' s services plan • Community strategy • Community plan • Community safety plan 	Common practice
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Management and Administration

2.7	The process of monitoring and reviewing strategic plans, policies or procedure to assess their compliance with guidelines	Destroy 5 years from closure	Common practice
2.71	Policy Documents	Destroy 7 years after policy superseded	Place obsolete versions in EDRMS and flag for destruction after 7 years.

Public Consultation

2.8	The process of consulting the public and staff in the development of significant policies of the local authority	Destroy 5 years from closure	Common practice
2.9	The process of consulting the public and staff in the development of minor policies of the local authority	Destroy 1 year from closure	Common practice

Information Management

Management and Administration

2.10	The activity whereby standards, authorities, restraints and verifications are introduced and maintained to manage information effectively	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Classification schemes • Registers • Indexes • Authorised lists of file headings 	Common practice
2.11	The management of collections of records transferred to the archives	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Accession registers • Depositor files 	Common practice
2.12	The process that records the disposal of records	Destroy 12 years after last action	<ul style="list-style-type: none"> • Disposal certificates • Destruction records 	Common practice based on Limitation Act
2.121	FOI / EIR / GDPR or Data Protection Case Records	Destroy 6 years after information released or withheld. Keep a summary form permanently (less Personal Data and attachments)	<ul style="list-style-type: none"> • Email or letter Requests • Exemption Consideration • Information released • Case Notes • Acknowledgement letters • Refusal Letters • Data Subject Access Requests 	Based on National Archives guidance http://www.nationalarchives.gov.uk/documents/foi_sched_retention.pdf
2.122	CCTV - The process of managing CCTV images	Destroy after 31 days of recording unless required for evidential purposes	<ul style="list-style-type: none"> • Tapes • HDD Images • Still Images 	Common Practice and CCTV Code of Practice

Management and Administration

2.123	Life Statements	Destroy 2 years after last action	<ul style="list-style-type: none"> • Proof of Life 	Legal currently undertake this service mainly for over 65s's
2.124	Social Media Chat or Transcripts	Keep for 1 month only	<ul style="list-style-type: none"> • MS Teams Chat 	
Enquiries and Complaints				
2.13	The management in summary form of enquiries and complaints directed to council	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded.	<ul style="list-style-type: none"> • Indexes • Registers 	Common practice
2.14	The management of enquiries, submissions and complaints which result in significant changes to policy or procedures	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Reports • Returns • Correspondence 	Common practice
2.15	The management of detailed responses on council actions, policy or procedures	Destroy 7 years after administrative use is concluded	<ul style="list-style-type: none"> • Reports • Returns • Correspondence • Ombudsman • Complaints 	Common practice In line with Limitation Act 1980

Management and Administration

2.16	The management of routine responses on council actions, policy or procedures	Destroy 2 years after administrative use is concluded	<ul style="list-style-type: none"> • Printed material • Form letters • Complaints 	Common practice
2.17	Complaints made against staff.	Destroy 7 years after last action	<ul style="list-style-type: none"> • Complaints against council officers 	Limitation Act 1980
Quality and performance management				
2.17	The process of monitoring or reviewing the quality, efficiency, or performance of a local authority service or unit	Destroy 5 years from closure	<ul style="list-style-type: none"> • Best Value Review 	Common practice
2.18	The process of assessing the quality, efficiency, or performance of a local authority service or unit	Destroy 2 years from closure	<ul style="list-style-type: none"> • Assessment form 	Common practice
Public relations				
Publications				
2.19	The process of designing setting information for publication	Destroy 3 years from last action		Common practice

Management and Administration

2.20	The published work of the local authority	Destroy after administrative use is concluded Note: One copy from the initial print run should go directly to the archive.		Common practice
2.20.1	Venue Hire Booking and enquiry forms	Destroy 3 years from last action		OTH
Media Relations				
2.21	Process of interaction with the media	Destroy 3 years from closure		Common practice
2.22	Media publications concerning local authorities	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Press cuttings • Media reports 	Common practice
2.22.1	Competition forms	Destroy 3 – 6 months (at the decision of the service manager)	<ul style="list-style-type: none"> • Armed Forces competitions • Schools etc. 	
2.22.2	Photographs of adults /minors for Council publications	Destroy 2 years after administrative use is concluded.	<ul style="list-style-type: none"> • Council open days • Civic Events • Other publications 	

Management and Administration

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| 2.22.3 | Public Signing in book / register | Keep for 14 days then erase | <ul style="list-style-type: none"> • Electronic Sign In App |
|--------|-----------------------------------|-----------------------------|--|

Marketing

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|-------------------------------|---|---|---|-----------------|
| 2.23 | The process of developing and promotion of local authorities campaigns and events | <p>Permanent. Offer to Archivist for review.</p> <p>Transfer to place of deposit after administrative use is concluded</p> | | Common practice |
| Civic and Royal Events | | | | |
| 2.24 | The recording of ceremonial events and civic occasions | <p>Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded</p> | <ul style="list-style-type: none"> • Visitors' book • Audio tapes • Video tapes • Photographs | Common practice |
| 2.25 | The process of organising a ceremonial event or civic occasions | Destroy 7 years after administrative use is concluded | | Common practice |

Client Services

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

Client Services

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

Client Services

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

Client Services

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

Client Services

Ref No.	Function Description	Retention Action	Examples of Records	Notes
3.16	Process involving summary case management of services or support to adults	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded		Common practice
3.17	Process involving in assessing and providing individual support for people with mental illness	Destroy 10 years after last contact	<ul style="list-style-type: none"> • Mental Health files 	Common practice
3.18	Process involving in assessing and providing individual support or services for all other people	Destroy 6 years after last contact	<ul style="list-style-type: none"> • Day service provision • Learning disability • Physical disabilities • Sensory disability • Rehabilitation and discharge • Communication support • Drug and alcohol misuse • Occupational therapy • Home care 	Common practice
	Admissions and Exclusions			
3.19	Case Files (including appeals)	Destroy 25 years from last action	<ul style="list-style-type: none"> • Appeal files • Exclusion files 	Common practice

Client Services

Ref No.	Function Description	Retention Action	Examples of Records	Notes
Programme Management and Development				
3.20	Process involved in development of services or programmes for children	7 years from closure		Common practice
3.21	Process involved in provision of services or programmes to support the development of children	25 years from closure	<ul style="list-style-type: none"> • Attendance records • Course reports 	Common practice
3.22	Process involved in provision of a services or programmes to support the development of young persons	15 years from closure		Common practice
3.23	Process involved in provision of services or programmes to adults	7 years from closure		Common practice
Residential Homes				
3.24	Summary management systems that manage children/adults housed by the local authority	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Children's/adults home Registers • Admissions registers • Discharge registers 	Common practice

Client Services

Ref No.	Function Description	Retention Action	Examples of Records	Notes
3.25	Documents relating to the operation of the establishment	25 years from closure of file	<ul style="list-style-type: none"> • Diaries • Rotas • Daily logs • Secure unit records. 	Common practice
3.25.1	Employee Records of staff / personnel working with vulnerable adults	Termination date + 25 years	Personnel files	
	<p>Housing Provision</p> <p>The process of the allocation and management of welfare housing by the local authority and the associated issues of homelessness</p>			
3.26	The registration of individuals housing applications	Permanent. Offer to Archivist.	<ul style="list-style-type: none"> • Council housing register 	Common practice
3.27	The process for applying for council housing (Unsuccessful applications only, successful applications will generally be placed on the tenancy file)	Destroy 7 years after closure	<ul style="list-style-type: none"> • Council housing Application forms and supporting material • Application for transfer of tenancy and supporting papers 	Common practice

Client Services

Ref No.	Function Description	Retention Action	Examples of Records	Notes
3.28	The process for managing the tenancy of an individual tenant	Destroy 12 years after termination of tenancy	<ul style="list-style-type: none"> • Correspondence re tenancy • Tenancy files • Council housing Application forms and supporting material • Application for transfer of tenancy and supporting papers • Application for emergency housing or referral from another agency 	Common practice These may need to be kept for a longer period of time in order to prove that the tenant was actually housed properly by the authority
3.29	<p>Community Partnerships Active Dacorum – referral forms</p>	Destroy 6 months after completion of course	<ul style="list-style-type: none"> • Referral Forms • Questionnaires 	
3.30	<p>Cautionary Database Use of violent warning marker database or spreadsheet</p>	Review after 18 Months – for currency and accuracy. If still a potential threat to staff, review after a further 18 months and so on.	Cautionary Database	

Legal and Contracts

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
Litigation				
4.1	The process of managing, undertaking or defending for or against litigation on behalf of the local authority	Destroy 7 years after last action. Major litigation – offer to Archivist for review	<ul style="list-style-type: none"> • Criminal case file • Childcare case file • Civil case file • correspondence 	Common practice
Advice				
4.2	The process of providing legal advice on a point of law.	Destroy 3 years after last action – unless a major precedent, then offer to Archivist for review		Common practice
Agreements				
4.3	Process of agreeing terms between organisations Note : this does not include contractual agreements	Destroy 6 years after agreement expires or is terminated	<ul style="list-style-type: none"> • Concordat 	Common practice Depends on value of agreement Mainly to do with agreements between public bodies, not in regard to contracts
4.31	S106	15 years from date of deed	<ul style="list-style-type: none"> • S106 Agreements 	

Conveyance / Deeds

(see also Property Acquisition and Disposal)

Legal and Contracts

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
4.4	The process of changing ownership of land or property	Destroy 12 years after closure	<ul style="list-style-type: none"> • Conveyancing files 	Statutory
	Right to Buy			
4.41	Right to Buy (sale of Flats and Houses)	12 Years after completion	<ul style="list-style-type: none"> • Sale documents • Agreement concerning sale 	Common practice
4.42	Right to Buy – withdrawn or cancelled	1 year after close of calendar year.	<ul style="list-style-type: none"> • Correspondence 	
4.42.1	Right to Buy – first refusal requests.	Accepted offers – please refer to Property Acquisition section 7.2		
		Rejected offers – destroy three years after date of rejection	<ul style="list-style-type: none"> • Rejection Notice 	
4.42.2	Right to Buy – postponement of discount charge.	7 years after consent agreed or application rejected.	<ul style="list-style-type: none"> • Letter • Deed of postponement. 	
4.42.3	Right to Buy – repayment of discount charge.	7 years after payment received.	<ul style="list-style-type: none"> • DS1 	

Legal and Contracts

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
4.43	Assets of Community Value (ACV).	6 years after last action	<ul style="list-style-type: none"> • Legal file copy • Land Registry Applications • Nomination forms • Evidence etc. 	Estates will have originals.
4.44	Restrictive Covenants and / or variation of covenants	12 years after variation		
4.44.1	Easements	12 years after completion	<ul style="list-style-type: none"> • File 	
4.45	Compulsory Purchase	12 years after completion		
4.46	Change of ownership notices on leasehold residential properties.	7 Years after transfer to next leaseholder.	<ul style="list-style-type: none"> • Former right to buy lease 	
4.47	Removal of pre-emption / discount.	3 Years following cancellation or application.	<ul style="list-style-type: none"> • C(iv) • K11 • Cancellation Certificates 	
4.48	Change of ownership notices on any residential property within 10 years of purchase under the RTB Scheme.	7 Years after consent.	<ul style="list-style-type: none"> • Exempted Disposal Certificate 	

Legal and Contracts

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
Land Investigation				
4.49	Report on title	Review after 7 years and destroy if development not completed. Retain further 7 years if completed.	<ul style="list-style-type: none"> • Utilities Search • LLC Search • 	
Contracts and Tendering				
Pre Contract Advice				
4.5	The process of calling for expressions of interest	Destroy 2 years after contract let or not proceeded with	<ul style="list-style-type: none"> • Expressions of Interest 	Common practice
Specification and Contract Development				
4.6	The process involved in the development and specification of a contract	<u>Ordinary Contracts</u> Destroy 6 years after the terms of contract have expired <u>Contracts Under Seal</u> Destroy 12 years after the terms of contract have expired	<ul style="list-style-type: none"> • Tender specification Note: For project files containing drafts leading to a final version these records can be destroyed.	Statutory

Legal and Contracts

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	Tender Issuing and Return			
4.7	The process involved in the issuing and return of a tender	Destroy 1 year after start of contract	<ul style="list-style-type: none"> • Opening notice • Tender envelope 	Common practice
4.71	Contracts Registers / register of tenders / quotations	Permanent		
4.8	Evaluation of Tender	<ul style="list-style-type: none"> • <u>Ordinary Contracts</u> Destroy 6 years after the terms of contract have expired • <u>Contracts Under Seal</u> Destroy 12 years after the terms of contract have expired 	<ul style="list-style-type: none"> • Evaluation criteria 	Statutory
4.9	Successful tender document	<ul style="list-style-type: none"> • <u>Ordinary Contracts</u> Destroy 6 years after the terms of contract have expired • <u>Contracts Under Seal</u> Destroy 12 years after the terms of contract have expired 	<ul style="list-style-type: none"> • Tender documents • Quotations 	Statutory
4.91	Unsuccessful tender documents	Destroy 1 year after start of contract	<ul style="list-style-type: none"> • Tender documents • Quotations 	Common practice

Legal and Contracts

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

Legal and Contracts

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
4.103	Management and amendment of contract	(a) <u>Ordinary Contracts</u> Destroy 6 years after the terms of contract have expired (b) <u>Contracts Under Seal</u> Destroy 12 years after the terms of contract have expired	<ul style="list-style-type: none"> • Minutes and papers of meetings • Changes to requirements • Variation forms • Extension of contract • Complaints • Disputes on payment 	Statutory
4.104	Street Trading	<u>Destroy 7 Years after last action</u>		
Tenancy Agreements				
4.105	The process of awarding tenancies in welfare housing	a) <u>Ordinary Tenancy</u> Destroy 6 years after the terms of agreement have expired b) <u>Tenancy Under Seal</u> Destroy 12 years after the terms of agreement have expired	<ul style="list-style-type: none"> • Signed tenancy agreements • Sealed tenancy agreements 	Statutory

Legal and Contracts

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
4.106	<p>Licensing</p> <p>General Licensing (Unless specified below)</p>	<p><u>Destroy 6 years after expiration, surrender etc.</u></p>	<ul style="list-style-type: none"> • Taxi drivers, vehicles and operators. • Licensing act 2003 licences and other actions such as Early Morning Restriction Orders • Stage hypnotism licence • Sex establishment licence • Street trading licence • Any GA05 licences and permits • Scrap metal licences • Charity collection permits • All animal licences dealt with by the Licensing department (including DWA and zoos etc.) • Skin piercing and cosmetic treatments • Caravan and camping site licences 	
4.107	<p>Licensing Act 2003</p>	<p><u>Destroy 3 years after expiration, surrender etc.</u></p>	<p>Club Premises</p> <ul style="list-style-type: none"> • Certificates 	

Human Resources

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	H.R administration			
5.1	<p>Summary management systems that allow the monitoring & management of employees in summary form</p> <p><u>Note: The summary information that this record class attempts to capture is:-</u></p> <p>Name DOB Date of appointment Work history details Position/designation Titles & dates held</p>	<p>Permanent. Offer to Archivist for review.</p> <p>Transfer to place of deposit after administrative use is concluded</p>	<ul style="list-style-type: none"> • Employment Register – Permanent Staff • Employment Register – Temporary Staff • Employment Register – Casual Staff • Registers of personnel files • Personal History cards • Superannuation history card • Salary master record 	Common practice
5.3	Records relating to staff working with children	Termination + 25 years		
5.4	All other records	Termination + 6 years		

Human Resources

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
5.4.1	Records relating to events notifiable under the Retirement Benefits Schemes (Information Powers) Regulations 1995, records concerning decisions to allow retirement due to incapacity, pension accounts and associated documents	6 years from the end of the scheme year in which the event took place, or the date upon which the accounts/reports were signed/completed		The Retirement Benefits Schemes (Information Powers) Regulations 1995 (SI 1995/3103)
5.4.2	Statutory Maternity Pay Records, calculations, certificates (Mat B1s) or other medical evidence	6 years after the end of the tax year in which the maternity period ends		The Statutory Maternity Pay (General) Regulations 1986 (SI 1986/1960)
5.4.3	Statutory Sick Pay records, calculations, certificates, self-certificates	6 years after the end of the tax year to which they relate		The Statutory Sick Pay (General) Regulations 1982 (SI 1982/894)
5.4.4	Wage/salary records (also overtime, bonuses, expenses)	6 years		Taxes Management Act 1970

Human Resources

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	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	Liaison processes of minor and routine industrial matters	Destroy 6 years after administrative use is concluded	<ul style="list-style-type: none"> • Daily industrial relations management 	Common practice
5.7	Processing of disciplinary and grievances investigations where proved	Written Warning Final Written Warning – Termination of employment + 2 years The above warnings to be removed & destroyed after the relevant time has 'spent' Management Instruction - termination date plus 6 years . Warnings Involving Children – Placed on personal file permanently	<ul style="list-style-type: none"> • Disciplinary 	For all practical purposes this function would not be subject to records management, except for Warnings Involving Children, which remain on the personal file permanently for reference purposes. (See 29.1.3 & 29.1.4)

Human Resources

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
5.8	Processing of disciplinary and grievances investigations were unfounded	Destroy immediately after the grievance has been found to be have been unfounded; or after appeal	<ul style="list-style-type: none"> • Disciplinary 	Common practice
5.8.1	Trade Union Agreements	10 years after ceasing to be effective		
5.8.2	Employment Tribunal	Cases unfounded – 1 year from last entry. Case founded – termination date + 6 years		
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

Human Resources

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	Occupational Health / Medical Records			
5.10	The process of checking and ensuring the health of staff	Termination Date + 6 years	<ul style="list-style-type: none"> • Health questionnaire • Medical clearance • Adjustment to work place • Restrictions • Recommendations 	Common practice
5.10.1	Medical records and details of biological tests under the Control of Lead at Work Regulations 1998	40 years from the date of the last entry		The Control of Substances Hazardous to Health Regulations 1999 (COSHH) (SI 1999/437)
5.10.2	Medical records as specified by the Control of Substances Hazardous to Health Regulations 1999	40 years from the date of the last entry		The Control of Substances Hazardous to Health Regulations 1999 (COSHH) (SI 1999/437)

Human Resources

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
5.10.3	<ul style="list-style-type: none"> • Medical records under the Control of Asbestos at Work Regulations 1987 and 1998. Medical records containing details of employees exposed to asbestos. • Medical examination certificates 	<ul style="list-style-type: none"> • 40 years from the date of the last entry. • 4 years from the date of issue 		The Control of Asbestos at Work Regulations (SI 1987/2115 and SI 1998/3235)
5.10.4	Medical records under the Ionising Radiations Regulations 1999	Until the person reaches 75 years of age, but in any event for at least 50 years		The Ionising Radiations Regulations 1999 (SI 1999/3232)
5.10.5	Records of tests and examinations of control systems and protective equipment under the Control of Substances Hazardous to Health Regulations 1999	5 years from the date on which the tests were carried out		The Control of Substances Hazardous to Health Regulations 1999 (COSHH) (SI 1999/437)
5.10.6	Assessments under Health and Safety Regulations and records of consultations with safety representatives and committees	Permanently		

Human Resources

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
5.10.61	Control of Patient Information	Destroy after administrative use is no longer required	Covid Status	HCC, NHS and Government. Regulatory Services also have owner access to these records for the purposes of public health.
5.10.7	Records of Monitoring Exposures in the Workplace	5 years for general monitoring 40 years for monitoring of an individual		COSHH
5.10.8	Papers relating to any injury on duty	Termination Date + 6 years		
5.10.9	DSE / VDU Assessments	4 Years		
Recruitment				
5.11	The selection of an individual for an established position	Successful applicants – termination date + 6 years. Unsuccessful applicants – destroy after 6 months. (For letter of appointment for successful candidate use employment conditions)	<ul style="list-style-type: none"> ▪ Advertisements ▪ Applications ▪ Referee reports ▪ Interview reports ▪ Unsuccessful applicants 	Common practice

Human Resources

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
5.111	Pre-employment vetting information including DBS Checks.	Summary Note on file required of; <ul style="list-style-type: none"> • Number • Date Then destroy immediately	<ul style="list-style-type: none"> ▪ DBS Applications ▪ DBS Checks 	DBS Guidelines.
	Criminal Record Disclosures	Destroy immediately after successful applicant has been offered role.		
	Staff Monitoring			
5.12	Performance	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
5.13.1	Parental Leave	18 years from the birth of the child		

Human Resources

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
5.13.2	Surveys	Destroy 2 years after administrative use has concluded	Staff Surveys etc.	
Staff Retention				
5.14	Financial reward	Destroy 6 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				
5.16	The process of termination of staff through dismissal and retirement	Destroy 6 years after termination	<ul style="list-style-type: none"> ▪ Resignation ▪ Death ▪ Retirement 	Common practice
5.16.1	Redundancy details, calculations of payments, refunds, notification to the Secretary of State	<p>If a pension is paid then records should be destroyed 10 years after last payment of pension</p> <p>12 years from the date of redundancy</p>		Limitation Act 1980

Human Resources

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
5.16.2	Personnel files and training records (including disciplinary records and working time records)	6 years after employment ceases		<p>Retain a permanent record of basic details (date joined, date left, position on leaving, reason for leaving) for re-employment and reference requests. The EIS retains leavers' records.</p> <p>Destroy all Conduct/Capability records where penalties are no longer live.</p> <p>Retain a record on the file (formal letters) in cases where individuals have been dismissed for misconduct.</p>
	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	<ul style="list-style-type: none"> ▪ Course individual staff assessment ▪ training register 	Common practice

Human Resources

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
5.19	Training (occupational health and safety training)	Termination Date + 6 years	<ul style="list-style-type: none"> ▪ OH&S training register 	Common practice CIPD Guidance
5.20	Training (materials)	Termination Date + 6 years		Common practice
5.21	Training (proof of completion)	Termination Date + 6 years	<ul style="list-style-type: none"> ▪ Certificates ▪ Awards ▪ Exam results 	Common practice
Appointments of Statutory Officers				
5.22	Summary management systems that allow the monitoring & management of statutory officers in summary form	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> ▪ Magistrates register 	Common practice
5.23	The process of administering employees to ensure that entitlements & obligations are in accordance with agreed employment requirements	Destroy 6 years after departure from employment		Common practice
5.24	The appointment of an individual for a statutory position	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> ▪ Appointment Files <ol style="list-style-type: none"> 1. Shrievalty 2. Magistrates 3. Lord Lieutenant 4. Tax commissioners 	Common practice

Human Resources

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
5.25	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

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 ▪ Cash flow statements ▪ Creditor listings and reports ▪ Debtor listings and reports 	Common practice

Financial Management

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	Financial Transactions Management			
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 ▪ Arrangements for the provision of goods and/or services 	Statutory
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	<ul style="list-style-type: none"> ▪ Allowances ▪ Work orders ▪ Invoices ▪ Credit card statements ▪ Cash books ▪ Receipts ▪ Cheque counterfoils ▪ Bank statements ▪ Subsidiary ledgers (annual) ▪ Journals (annual) ▪ Vouchers 	Statutory This period may be reduced with the agreement of Customs and Excise and/or the Inland Revenue
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

Financial Management

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
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 which the records were created	<ul style="list-style-type: none"> ▪ Taxation records ▪ Motor vehicle logs ▪ Fringe benefits tax records ▪ Group certificates 	Statutory
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"> ▪ Notification & input records 	Common practice
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

Financial Management

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
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
6.10.1	The process of administering employees to ensure that entitlements & obligations are in accordance with agreed employment requirements Records containing superannuation information	Destroy 10 years from date of last pension payment	Personal particulars Declarations of pecuniary interests Employment contracts	Common Practice
Financial Provisions				
Budgets and Estimates				
6.11	The process of finalising local authorities' annual budget	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> ▪ Annual budget 	Common practice Only the final version of the annual budget needs to be kept

Financial Management

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
6.12	The process of developing local authorities' annual budget	Destroy 2 years after annual budget adopted by local authorities	<ul style="list-style-type: none"> • Draft budgets • Departmental budgets • Draft estimates 	Common practice
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 Local Authorities	<ul style="list-style-type: none"> • Quarterly statements 	Common practice
Loans				
6.14	The activity of borrowing money to enable a local authority to perform its functions and exercise its powers	Destroy 7 years after the loan has been repaid	<ul style="list-style-type: none"> • Loan files 	Statutory
Grants / Funding				
6.141	The activity of providing a grant award to another party	Destroy 7 Years after grant has been awarded	<ul style="list-style-type: none"> • Grants to local charities 	

Financial Management

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
6.142	The activity of providing funding to a business	Records will be kept for the duration that the program is running (to protect public and / or sponsors funds, to prevent fraudulent applications)	<ul style="list-style-type: none"> • E.g. funding from Dacorum's Den or local sponsors 	
6.15	Summary management of loans	<p>Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded</p>	<ul style="list-style-type: none"> • Loans registers 	Common practice
	<p>Housing The process of offering financial help with welfare housing provision and maintenance</p>			
6.16	Mortgages	<p>Last payment + 6 years if signed</p> <p>Last payment +12 years if sealed</p>	<ul style="list-style-type: none"> • Mortgage agreements • Correspondence • Right to Buy 	Statutory

Financial Management

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
6.17	Residential Charging Order / Landlords Consent	Destroy 12 years after administrative use has concluded or after surrender, expiry or termination of lease or memoranda of terms	<ul style="list-style-type: none"> • File 	
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	Home Improvement Grants	<p>Destroy 6 years after last payment for grants under £50 000, For grants over £50 000 destroy 12 years after last payment</p> <p>Where plans and detailed drawings included offer to Archivist.</p>	<ul style="list-style-type: none"> • Agreement to pay loan • Details of payments • Correspondence relating to loan 	Statutory

Council Tax Valuation

Financial Management

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
6.20	The valuation of rateable land within a municipal district for the purpose of the making of the rate	<p>Valuation lists & Schedules - Permanent. Offer to Archivist for review</p> <p>Destroy 10 years after the year in which the valuation was made</p>	<ul style="list-style-type: none"> • Valuation lists • Correspondence • Objections • Reports 	Common practice
6.20.1	Information collected in respect of claims and awards of Housing Benefit, Council Tax Benefit, local Council Tax support and discretionary Housing Payments.	Calendar Year + 6 Years after the year in which activity on the case ended	<ul style="list-style-type: none"> • Supplementary records relating to the assessment of benefits 	Common Practice

Financial Management

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	Business Rates Property History			
6.21	<p>The recording of information for rateable properties identifying the person or company rated, including details of the value of the property.</p> <p>Note: Records containing accounting information primarily, and not being a source of property history, should be disposed of according to the appropriate record class within the Accounts & Audit function.</p>	<p>Permanent. Offer to Archivist for review.</p> <p>Transfer to Place of Deposit after administrative use is concluded</p>	<ul style="list-style-type: none"> • Revenues system records 	Common practice
	Revenues (NNDR & Council Tax)			
6.22	<p>Correspondence and financial records relating to the billing and collection of business rates and council tax.</p>	<p>Calendar Year + 6 Years after the year in which activity on the case ended</p>	<ul style="list-style-type: none"> • Notices • Correspondence 	Common practice

Financial Management

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	Summary Assets Management			
6.23	See Property Management for real property assets. See Transport Management for vehicle assets.			
6.24	Summary management reporting on the overall assets of the local authorities	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Schedules of acquisitions • Consolidated current asset reports • Annual reports • Summary of current assets • Asset registers 	Common practice
	Asset Monitoring and Maintenance			
6.25	Management systems that allow the monitoring & management of assets in summary form	Destroy 7 years after the conclusion of the financial transaction that the record supports	<ul style="list-style-type: none"> • Subsidiary asset registers 	Common practice

Financial Management

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
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"> • Garden 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

Financial Management

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
6.29	Management of the acquisition (by financial lease or purchase) and disposal (by sale or write off) process for assets	Destroy 6 years, if under £50 000 or 12 years if over £50 000, after all obligations/entitlements are concluded	<ul style="list-style-type: none"> • Legal documents relating to the purchase/sale • Particulars of sale documents • Board of survey • Leases • Applications for leases, licences & rental revision • Tender documents • Conditions of contracts • Certificates of approval 	Statutory
	Payment Cards / Credit Cards			
6.30	Application forms	Destroy 2 years after administrative use has concluded	Payment card application forms	
6.31	Payment / Credit Card Policies and Procedures	Destroy 4 years after administrative use has concluded	Policies issued and signed by staff in relation to the use of an authority issued payment card or credit card	

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 local authority	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Consolidated property & buildings annual reports • Summary of leased property • Summary of local authority's owned property • Site register • Register of leases 	Common practice
	Property Acquisition and Disposal			
7.2	[see also Conveyance] Management of the acquisition (by financial lease or purchase) process for real property	Retain for life of property or building plus 12 years. Offer material re major/significant properties to Archivist for review	<ul style="list-style-type: none"> • Plans 	Common practice

Property and Land Management

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
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
7.31	Application of to claim ownership of land by the Council.	Destroy 12 years after administrative use has concluded	<ul style="list-style-type: none"> • Correspondence • Adverse possession claims 	
Property Development and Renovation				
7.4	The process of managing and undertaking renovations and development of property			
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

Property and Land Management

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
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 upon expiry of the Lease, but in any event for a minimum of 15 years.	<ul style="list-style-type: none"> • Lease agreements • Rental expenditure authorities • Valuation queries • Applications for leases, licences & rental revision • Licenses to Assign 	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
7.91	The process of managing Council owned allotments	Destroy 5 years after termination of tenancy		

Property and Land Management

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
Housing Provision				
7.10	The process of managing local authority welfare housing estates	Destroy 4 years after last action	<ul style="list-style-type: none"> • Stock monitoring records 	Common practice
7.10.1	Moving with Dacorum Scheme	Keep applications for 5 years and either destroy or review.	<ul style="list-style-type: none"> • Application • Supporting documents (kept for x months) 	
7.10.2	Tenant information if tenant has left the borough or has purchased through RTB Scheme	7 years after end of tenancy or from date of purchase under RTB Scheme.	<ul style="list-style-type: none"> • Tenancy File 	
7.10.3	All records associated with temporary accommodation license agreement	7 years after last action / closure	<ul style="list-style-type: none"> • Agreements • Breach Letters 	
7.10.4	Draft files associated with temporary accommodation license agreement	Destroy as soon as final record has been created and / or signed (see 7.10.3)	<ul style="list-style-type: none"> • Draft Agreements • Drafts of breach letters 	

Systems Management

Property and Land Management

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

Property and Land Management

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
7.15	The process of managing allocation & maintenance of vehicles	Destroy 7 years after the sale or disposal of the vehicle	<ul style="list-style-type: none"> • Approvals as drivers • Allocations & authorisations for vehicles • Maintenance • Vehicle usage reports 	
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 	
7.17	The process of recording drivers usage	Destroy 7 years after closure	<ul style="list-style-type: none"> • Vehicle log book 	
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 	

Property and Land Management

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
7.19	The process of insuring local authority officers, property, vehicles and equipment against negligence, loss or damage	Destroy 7 years after the terms of the policy have expired	<ul style="list-style-type: none"> • Insurance policies • Correspondence 	
7.20	The process of renewing insurance policies	Destroy 5 years after the insurance policy has been renewed	<ul style="list-style-type: none"> • Insurance policy Renewal records • Correspondence • 	
Claims Management				
7.21	The process that records insurance claims against the local authority or local authority officers	Destroy 7 years after all obligations/entitlements are concluded (allowing for the claimant to reach 25 years of age)	<ul style="list-style-type: none"> • Claims records • Correspondence 	

General Public Services

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	Health and Safety			
	Inspections and Assessments			
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 geo-technical 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 	

General Public Services

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
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
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 date of last entry.	<ul style="list-style-type: none"> Accident books / Accident records / reports 	RIDDOR 195 (SI 1995/163)
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 emergency/disaster plan for the local community	Permanent. Offer to Archivist for review. Transfer to place of deposit after superseded	<ul style="list-style-type: none"> Major Incident Plan 	
8.12	Process of recording the results of the test for emergency/disaster plan for the local community	Destroy 10 years after closure		

General Public Services

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	Major Incident			
8.13	Activities that report on all major incidents in the local community, whether the emergency plan has been invoked or not	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded		
8.14	Activities that report on all minor incidents in the local community	Destroy 7 years after closure		
	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

General Public Services

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

General Public Services

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
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"> • Diesel licences • Petroleum licences • Health and safety licensing • Hazardous substances • Contaminated land register/pollution 	Common practice
8.18	The process of registration of homes or carers for the care and support of children, in the responsibility of the local authority	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded - 25 years from closure of centre, or discontinuation of care	<ul style="list-style-type: none"> • Organisation files • Child carers files • Childcare registration • Day care registration • Children's home 	Common practice The responsibility of OFSTED from 1 st April 2002
	Notification			

General Public Services

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
8.19	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			
8.20	The process of investigation, monitoring or inspection laws in the responsibility of the local authority	Destroy 7 years from last action.	<ul style="list-style-type: none"> • Trading standards sample and inspections records • Fire certificate compliance inspections 	Common practice

General Public Services

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
8.20.1	Surveillance Products (RIPA)	Destroy 7 years from closure of surveillance.	<ul style="list-style-type: none"> • All information and material obtained through surveillance and all copies, extracts or summaries (i.e. video or audio recordings) 	
8.20.2	Enforcement Officer Authorisations	Destroy 7 years after first entry into archive	<ul style="list-style-type: none"> • Seizure of dogs • Clean air 	
	Prosecution			
8.21	The process of prosecution or sanction of an individual or organisation for failing to comply with their legal responsibilities	Destroy 7 years from last action.	<ul style="list-style-type: none"> ▪ Prosecution/sanction files 	Common practice
	Bye-Laws			

General Public Services

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	Enactment			
8.22	The process of making local laws	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Master Set of bye-laws • Policy Development documents • Correspondence • Submissions 	Common practice
	Administration & Enforcement			

General Public Services

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

General Public Services

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	The provision of hard waste removal, destruction and waste reduction services by the local authority 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 local authority	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded		Common practice
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

General Public Services

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
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
Customer Services Unit				
8.31	The process involved of managing and monitoring call recordings including screen 'grabs'	Erase Call recordings older than 12 months		Common Practice

Infrastructure and Transport

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	Planning and Development			
9.1	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
9.2	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
9.2.1	HCC Applications to modify / extinguish / create / divert / stop-up highways, bridle paths and rights of way.	2 years from date of last correspondence.	<ul style="list-style-type: none"> • Definitive Maps, Notices & Orders. 	
9.3	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

Infrastructure and Transport

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
9.4	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
9.5	The process of enforcing infrastructure and transport regulations	Destroy 50 years after enforcement notice. Destroy 3 years after compliance with enforcement notice.		Common practice
Traffic Management				
9.6	The activity of planning, and programming the continued flow, diversion or reduction of traffic	Destroy 7 years after action completed. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Temporary Traffic orders • Traffic Orders 	Common practice
9.7	Design and Construction The activity of planning, designing, programming and constructing roads, streets, bridges, and tunnels	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded		Common practice

Infrastructure and Transport

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
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Infrastructure and Transport

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

Infrastructure and Transport

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

Regulatory Services

Ref No.	Function Description	Retention Action	Notes
10.1	Dog Warden Service <ul style="list-style-type: none"> • Requests (straying, barking, fouling etc.) 	7 years after case written off	Service Manager has discretion to retain records where justified
10.2	Pest Control Service <ul style="list-style-type: none"> • Requests • Contracts 	7 years after case written off 7 years after contract expired	Service Manager has discretion to retain records where justified
10.3	Drainage service <ul style="list-style-type: none"> ▪ Case notes re defects ▪ Correspondence re defects ▪ Statutory notices 	Do not discard Do not discard Do not discard	Service Manager has discretion to retain records where justified
10.4	Food safety <ul style="list-style-type: none"> • Inspection records • Statutory notices • Prosecutions • Complaints re food & hygiene • General requests (advice etc.) 	7 years after inspection 7 years from compliance 7 years from conviction 7 years after case written off 7 years after case written off	Service Manager has discretion to retain records where justified
10.5	Grants & Private Sector Housing <ul style="list-style-type: none"> • Grant summary papers only • Grant inspection records • Other inspection records • Statutory notices • Prosecutions • General requests (advice etc.) • Closing Orders (or Demolition Order not carried out) • HMOs 	10 years 10 years after inspection 7 years after inspection 7 years from compliance 7 years from conviction 7 years after case written off Do not discard 7 years after case written off	Service Manager has discretion to retain records where justified

Regulatory Services

Ref No.	Function Description	Retention Action	Notes
10.7	Noise and Pollution Control <ul style="list-style-type: none"> • Case sheet & standard letters only • Complaint form/ diary sheets • Statutory notice served • Prosecutions • Authorisation applications & correspondence • Authorised process inspection records • Contaminated land records/ info. 	7 year after case written off 7 years after case written off 7 years after case written off 7 years from conviction 7 years after authorisation lapsed 7 years after inspection Do not discard	Service Manager has discretion to retain records where justified
10.8	Health and Safety <ul style="list-style-type: none"> • Inspection records • Accident investigations • Statutory notices • Prosecutions • Complaints re safety • General requests (advice etc.) 	7 years after inspection 7 years after completion 7 years from compliance 7 years from conviction 7 years after case written off 7 years after case written off	Asbestos related issues: do not discard Service Manager has discretion to retain records where justified
10.9	Sampling <ul style="list-style-type: none"> • Private domestic water supply sample records • Commercial water supply sample records • Complaints re food etc. • General requests (advice etc.) 	7 years from sample date Do not discard 7 years after case written off 7 years after case written off	

Private Sector Housing

Ref No.	Function Description	Retention Action	Notes
13.1	HMO's Suspected HMO	2 Years from last action	
13.2	HMO Licence	7 Years	i.e. HMO Prosecution Landlord
13.3	Prosecution	7 Years	
13.4	Enforcement Action	2 Years after last action	
13.5	Housing Health and Safety Rating System	2 Years after last action	
13.6	All other enquiries	2 years after last action	
13.7	Help to Rent	7 Years after last action	

Planning and Regeneration

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
11	Local Land Charges			
11.1	Register of Local Land Charges	Permanent. Transfer to Place of Deposit after administrative use is concluded	Electronic and paper documents	Local Land Charges Act 1975
11.2	Copies of completed searches	6 years from completion		Common Practice
11.3	General correspondence relating to Local Land Charges	6 years after administrative use is concluded	Correspondence	Common Practice
11.4	Cashiers Receipts for cheques received. (Known universally as F Tickets) Taken daily to Central Admin	Shall be retained for 21 days to allow for reconciliation of payments received	Paper documents	A copy of F Ticket is held by Central Admin for a period of 7 years. Cashiers receipts Report available on Reports System.
11.5	NLIS and TM Choice statements of electronic payments received by BACS. Used daily to reconcile payments received	Shall be retained for 21 days on the Land Charges service email system.	Received by email.	The statements are emailed to Finance who keep for a period of 7 years.

Planning and Regeneration

Environmental Services

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	Waste Services			
12.1	<p>Service Requests:</p> <p>Missed collections: Household Waste</p> <p>Missed collections: Commercial Waste</p> <p>Requests for bin repairs or replacements</p> <p>General service requests e.g. Bulky Item collections Requests for calendars/sacks</p>	<p>Archive on Civica Flare system after 3 Years</p>		
	Rounds / Bins			
12.2	<p>Assisted Collection Applications</p> <p>360 Bin Applications</p> <p>Bartec Auto ID System records</p>	<p>Archive on Civica Flare system after 5 years</p> <p>Archive on Civica Flare system after 5 years</p> <p>To be confirmed</p>		

Environmental Services

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	Clean, Safe and Green			
12.3	Service Requests: Graffiti, dog fouling, litter bins. litter, nameplates, leaves, playgrounds.	Archive on Civica Flare system after 3 Years		
	Trees and Woodlands			
12.4	General enquiries Requests for pruning/removal Rights of Way Other: Ezytreev Tree System Records Other: Ezytreev Tree System Tree Damage Claims /Insurance	Archive on Civica Flare system after 3 Years Destroy after 5 years Destroy after 7 years	(Enforcement Documents)	

Environmental Services

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	Environmental Services Administration:			
12.6	Weighbridge Data	Destroy/Archive after 5 years		
	Recycle Credit Claim Forms	Destroy after 5 years		
	Waste Data Flow Records	Destroy after 5 years		
	Environment Agency Return Records	Destroy after 5 years		
	Vehicle Defect Sheets	Destroy after 18 Months		

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