

AUDIT AND RISK COMMITTEE 29 NOVEMBER 2011
AGENDA ITEM 8(i)

REPORT TO CABINET

Open		Would any decisions proposed :		
Any especially affected Wards	Mandatory/Operational	(a) Be entirely within cabinet's powers to decide NO		
		(b) Need to be recommendations to Council		YES
		(c) Be partly for recommendations to Council and partly within Cabinets powers –		NO
Lead Member: Cllr Nick Daubney E-mail: cllr.nick.daubney@west-norfolk.gov.uk		Other Cabinet Members consulted:		
		Other Members consulted:		
Lead Officer: Kate Littlewood, Audit Manager E-mail: kate.littlewood@west-norfolk.gov.uk Direct Dial: 01553 616252		Other Officers consulted: Karen Butler, Internal Audit Diane Cross, Document Management System Manager Executive Director, Finance and Resources		
Financial Implications NO	Policy/Personnel Implications YES	Statutory Implications (incl S.17) YES	Equal Impact Assessment NO If YES: Pre-screening/ Full Assessment	Risk Management Implications YES

Date of meeting: 6 December 2011

RETENTION POLICY

Summary

This report sets out the background for the need to change the current policy for the retention of documents and records of the Council.

Recommendation

For Cabinet to recommend that Council approve the Retention Policy

Reason for Decision

To detail the Council's commitment to records management, advising on the policy and procedures to be adopted regarding document retention and disposals.

1. Background

1.1 As a result of training courses run by the East of England Development Agency (EEDA) on Data Protection and Freedom of Information. It was identified that the current arrangements for the retention of records were insufficient to cover the range of documents held within the Council.

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- 1.2 Currently, document retention is included as an appendix in Financial Regulations. This initially covered purely finance related documents and has grown over time to incorporate other areas as they have been identified.
- 1.3 It is clear that the current policy is insufficient as the retention of documents is not simply a finance function, but has wider implications in respect of Data Protection, Freedom of Information and ISO 15489 (BS ISO 15489-1:2001) the international standard on records management which is the standard adopted by the Corporate Scanning Team.
- 1.4 The Council may need to prove (to a court of law or some other statutory body) that the contents of a particular document or data file created or existing within an Electronic Document Management System have not changed since the time of storage. BSI BIP 0008, Legal Admissibility of Documents is a code of practice that provides guidance to ensure, as far as possible, that electronic documents and scanned images will be accepted as evidence by the courts. This standard has also been adopted by the Corporate Scanning Team.
- 1.5 The Freedom of Information Act 2000 came into effect on 1st January 2005. The Act gives anyone a right of access to any information held by the Council. Requests for access to information must comply with simple rules and they can only be turned down in a limited number of ways. It is particularly important that the disposal of records is undertaken in accordance with clearly established policies which have been formally adopted by the Authority.
- 1.6 The Data Protection Act 1998, requires that personal data processed for any purpose "shall not be kept for longer than is necessary for that purpose". Therefore it is necessary to ensure that records containing personnel data are securely disposed of when no longer required.
- 1.7 On developing the policy reference was made to the national Archives guidelines and service areas have been contacted for their input regarding the type of documents they store and how long for. External Audit has also been consulted on the type of documentation they will accept for audit.
- 1.8 The Retention Policy will provide a corporate policy framework to govern decisions on whether a particular record should be retained and for what period. The Policy also sets out the criteria to be followed in making a decision whether to retain or dispose of a record and the format it is kept in, either hard copy, scanned or electronic.
- 1.9 The future management and review of the policy will be the responsibility of the Document Management System Manager and will form part of any future information management system.

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2. Policy Implications

2.1 This is a new policy document.

3. Financial Implications

3.1 There are no direct financial implications but there is the requirement to reduce the amount of space each service requires as the Council is looking to maximise the potential income by letting parts of the building and there are associated costs for the external storage of unnecessary documents.

4. Statutory Consideration

4.1 It is particularly important under the Freedom of Information Act 2000 and Data Protection Act that the disposal of records which is defined as the point in their life cycle when they are either transferred to an archive or destroyed is undertaken in accordance with clearly established policies.

5. Risk Assessment

5.1 The Council does not need to keep all the records it creates or receives. However, the Council does need to adhere to recommended and mandatory minimum retention periods for specific classes of records where specific rules and considerations apply.

6. Access to Information

6.1 The draft retention policy is attached to this report as **Appendix 1**.

Borough Council of
**King's Lynn &
West Norfolk**



**Borough Council of King's Lynn
& West Norfolk**

**Managing Records Retention
And Disposal
Corporate Policy**

Issue 1

Revision History

<u>Date</u>	<u>Version</u>	<u>Description</u>	<u>Changed by</u>
<u>30/09/2011</u>	<u>Draft</u>	<u>First Issue</u>	<u>Diane Cross</u>

Contents:

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1. Introduction

1.1 In the course of carrying out its various functions and activities, the Council collects information from individual and external organisations and generates a wide range of data/information/documentation which is recorded.

1.2 For the purpose of this policy no distinction will be made between data, records, documents, and files, all of which hold information in or on them that in turn makes them part of the 'information lifecycle'.

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1.3 Modern day records management philosophy emphasises the importance of organisations having in place systems for the timely and secure disposal of records and information that are no longer required for business purposes.

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1.4 These guidelines have evolved through two stages:

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- Research into best practice
- Additional input from staff.

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1.5 By formalising the policy it seeks to:

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- Assist in identifying records that may be worth preserving permanently
- 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 records not required permanently after specified periods
- Improved records management practices within the authority.

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2. Scope and Purpose

2.1 The purpose of this policy is to provide a corporate policy framework to offer guidance and support to BCKLWN staff when making decisions on whether particular records and information should either be:

- Retained – and if so in what format, and for what period; or
- Disposed of – and if so when and by what method.

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2.2 The guidelines are intended to cover all records and information from creation through to either destruction or retention.

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2.3 Record retention policies were primarily created to define retention periods for paper records. However as more of the Council business is performed electronically there is a need to define the retention periods of electronic records. These guidelines are relevant to records which

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are electronic, paper or records which have been transferred to another format such as microfiche.

2.4 Retention of documents may be necessary to:

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- Meet operational needs
- Fulfil statutory or other regulatory requirements
- Evidence events/agreements in case of disputes
- Ensure the preservation of documents of historical or other value

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2.5 There are however some records that do not need to be retained for any length of time. Standard Operating Procedure defines types of records that staff may routinely destroy in normal course of business. It usually applies to information that is duplicated, unimportant or only of short-term facilitative value. Such records or information include:

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- Compliment slips
- Catalogues and trade journals
- Telephone message slips
- Non-acceptance to invitations
- Requests for stock information such as planning applications and regeneration plans
- Out of date distribution lists
- Working papers which lead to a final report
- Duplicated and superseded material including manuals and drafts

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2.6 Permanent retention of records and information is undesirable, and appropriate disposal is to be encouraged for the following reasons:

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- Indefinite retention of personal data may be unlawful
- There is a shortage of new storage space and what is available can be costly
- Disposal of existing paper records can free up office space for more productive activities
- Reduction of fire risk (for paper records)
- There is evidence that the de-cluttering of office accommodation can be psychologically beneficial for many workers.

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3. Retention and Disposal Protocol

3.1 The Retention Schedule (appendix A) provides guidance on recommended and mandatory minimum retention periods for specific classes of records and information.

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3.2 If you wish to transfer permanent records to an archive please contact the Document Management Systems (DMS) Manager, who will outline options for both paper and electronic records.

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3.3 Where a retention period has expired in relation to a particular record or information a review should be carried out before a final decision is made to dispose. Such reviews need not necessarily be detailed or time consuming. Where the designated officer is familiar with the contents or where contents are straightforward and easily apparent then such an exercise may only take a few minutes.

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3.4 In the event that a decision is taken to dispose of a particular record or set of records, then consideration should be given to the method of disposal.

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3.4.1 Confidential Waste – making available for collection by a designated refuse service by placing paper documents containing personal data or confidential information in the blue 'confidential waste' bins.

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3.4.2 Recycling – where practicable disposal should further recycling in line with the Council's commitment to promoting an alternative waste disposal strategy.

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3.4.3 Deletion - Documents held on an electronic document management system and main back office systems are subject to national discussions with various software suppliers to enable archiving of data and records. The Information Commissioner has advised that if steps are taken to make data virtually impossible to retrieve, then this will be regarded as equivalent deletion.

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3.4.4 Migration of documents to an external body – this method will be relevant where records or documents are of historic interest. The third party could be the National Archives (formally the Public Records Office).

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3.5 Disposal should be documented to facilitate an audit trail by keeping a record of the document or information disposed of, the date and method of disposal, and the officer who authorised disposal. The documenting of the disposal is particularly important due to the Freedom of Information Act.

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4. Roles and Responsibilities

4.1 Service Managers - Responsibility for determining (in accordance with the Retention and Disposal Protocol mentioned above) whether to retain or dispose of specific documents rests with the individual Service Manager, in respect of those documents that properly fall within the remit or control of his/her Service.

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The rationale for this is that it is reasonable to both assume and expect that each Service Manager should be broadly conversant with the types of documents received, generated and stored by his/her Service.

Service Managers may delegate the operational aspects of this function to one or more senior officers within their Service. However in doing so they should ensure that any such Officer is fully conversant with this Policy and is also familiar with the operational requirements of the Service in relation to document retention/disposal.

4.2 Legal Services - can advise on whether minimum retention periods are prescribed by law, and whether retention is necessary to protect the Council's position where the likelihood of a claim has been identified by the relevant Service Managers

Legal Services staff cannot be expected to possess the operational or background knowledge required to assess whether a particular document may be required by the Service concerned for operational need. This is the responsibility of the relevant Service Manager or his/her designated Officers.

4.3 ICT – should be contacted regarding the destruction of video, CD and DVD, as the use of specialised shredding equipment is required.

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4.4 The DMS Manager is available to provide Service Managers with advice and guidance on effective records management practices, and any queries regarding this policy and the attached Retention Schedule.

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This policy will be reviewed by the DMS Manager on a bi-annual basis unless any practical implications are identified sooner, at which time the guidance will be updated to reflect the latest position.

5. Legislative Framework

5.1 Many of the retention periods are laid down by statute, whilst others are guideline following best practice in our Departments. Every effort has been made to ensure that these retention periods are compliant with the requirements of the Data Protection Act 1998 and the Freedom of information Act 2000.

5.2 Data Protection Act (DPA)– the fifth Principle of the Act states ‘Personal data processed for any purpose or purposes shall not be kept for longer than is necessary for that purpose or those purposes’

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If any personal detail is of sufficient interest to be archived indefinitely, the DPA makes provisions for the personal data processed only for ‘historical’, ‘statistical’ or ‘research purposes’. This is conditional on meeting the criteria outlined in the Act.

5.3 Freedom Of Information Act (FOIA) – The FOIA gives anyone the right access to any information held by the Council.

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There should be clearly defined policies and procedures for the retention and disposal of records. To ensure compliance the Council has established a Corporate Retention Schedule (Appendix A) which details record types held by all areas of the organisation.

5.4 Local Government Act 1972 (LGA) Part VA – This governs public access to certain documents relating to Council and Committee meetings. Certain documents that form part of the public part of the agenda are required to be available for inspection by members of the public.

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5.5 Tax Legislation – Minimum retention for certain financial records are imposed by statutes such as the VAT Act 1994, and the Taxes Management Act 1970.

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5.6 Statutory Registers – Various local government statutes require registers to be kept of certain events, notifications, or transactions. It is implicit within such legislation that these records be maintained on a permanent basis, unless the legislation concerned stipulates otherwise.

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5.7 The Audit Commission Act 1998 – This provides auditors with a right of access to every document relating to the Council that appears necessary for the purposes of carrying out the auditor’s function’s under the Act.

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Bibliography

ISO 15489 (BS ISO 15489-1:2001) – Information and Documentation – Records Management

BSI BIP 0008 – Legal Admissibility and Evidential Weight of Information Stored Electronically

The National Archives (formally the Public Records Office).

The Records Management Society of Great Britain for local authorities draft retention guidance.

Managing Records Retention and Disposal guidance – Alison North – Ark Group

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Appendix A: Retention Schedule

Section 1 - Democratic Services

Ref No	Function Description	Examples of Records	Retention Periods (Authority)
1.1	<u>Electoral Registration</u>		
	<u>Electoral Registration has a separate policy. This should be referred to for retention of documents relating to the Electoral Register, election results and ballot papers.</u>		
1.2	Member Declarations		
1.2.1	Member Acceptance of Office	Bound register	Permanent
1.2.2	Members Registration of Interest	Declarations of all current members retained.	In the event of a Members' resignation/retirement/ non election declarations are required to be retained for a period of 18 months.
1.2.3	<u>Members Allowances</u>	<u>Travel and subsistence claim forms</u>	<u>Current year + 6</u>
1.3	Council and Committee Meetings		
1.3.1	The process of preparing business for Council consideration and making the record of discussion, debate and resolutions.	Minute Books and Indexes.	Permanent. Transfer to Place of Deposit after 6 years. (Local Government Act 1972 Section 100C.)
1.3.2	Agenda and non confidential reports considered by each Council, Cabinet, Committee and Panel meetings		CY + 5 years (Local Government Act 1972 Section 100C)
1.3.3	Background Papers		CY + 4 years (Local Government Act 1972 Section 100D)
1.4	Partnership, Agency and External Meetings		
1.4.1	Preparing business for partnership and agencies consideration and making the record of discussion, debate and resolutions, <u>where the local authority legally owns the record.</u>	Documents establishing the committee Agendas and Minutes Reports Recommendations Supporting docs- such as briefing and discussion papers	6 years after the end of the financial year in which the records were created
1.4.2	Preparing business for external committees' consideration, and making the record of discussion, debate and resolutions, <u>where the local authority does not own the record</u>	Documents establishing the committee reports Recommendations Supporting documents such as briefing and discussion papers	7 years after last action
1.5	Honours and Submissions		
1.5.1	Preparing of honours submission	Honours nomination form Covering documentation Letters of support Referral for comment from lord lieutenant	5 years after last action
1.6	Political Party Papers		
1.6.1	Undertaking representation of the local authority – local authority representatives	Leader of opposition papers Leader of council papers Party Political Group filing system and leaders records.	3 years after last action.

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Section 2 – Corporate Management

Ref No	Function Description	Examples of Records	Retention Periods (Authority)
2	MANAGEMENT & ADMINISTRATION		
2.1	Corporate Planning & Reporting		
2.1.1	Corporate planning and reporting activities of local authorities	Corporate Plans Strategy Plans Business Plans Quarterly and Annual Reports Departmental Plans	Indefinitely
2.1.2	Preparing business for strategic consideration and making the record of discussion, debate and resolutions	Management Team Extended Management Team Councillor Meetings	Indefinitely
2.1.3	Preparing business for cross departmental consideration and making the record of discussion, debate and resolutions	Corporate Cross Cutting Groups Dept Coordinators Minutes	5 years
2.2	Statutory Returns		
2.1.1	The process of preparing information to be passed on to central government as part of statutory requirements.	Reports to central government BVPP, BVPIs and NI's	7 years
2.3	Policy, Procedures Strategy and Structure		
2.3.1	Activities that develop policies, procedures, strategies and structures for the local authorities	Policy, procedure, precedent, instructions Organisation charts Divisional Information Policy implementation and development Asset management plan Community safety plan Performance Management Guidance HR Strategy Financial Plan Other Corporate Critical Plans	12 years
2.3.2	Monitoring and reviewing strategic plans, policies or procedure.	Quarterly and Annual Performance Reports LSP Performance Management Framework	5 years from closure
2.3.3	The management of detailed responses on Council actions, policy or procedure.	Reports Returns Correspondence Ombudsman	Destroy 6 years after administrative use is concluded.
2.4	Public Consultation		
2.4.1	Consulting the public and staff in the development of significant policies of the local authority	Citizens Panel Best Value General Surveys Staff Surveys Satisfaction Questionnaires Area Forum Questionnaires	1 year for one-off surveys 5 years for repeated surveys
2.4.2	Consulting the public and staff in the development of minor policies of the local authority		1 year from closure

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2.5	Information Management		
2.5.1	<u>Activity of standards, authorities, restraints and verifications are introduced and maintained to manage information effectively</u>	<u>Classification schemes</u> <u>Registers</u> <u>Indexes</u> <u>Authorised lists of file headings</u>	<u>5 years</u>
2.5.2	<u>Recording the disposal of records</u>	<u>Disposal certificates</u>	<u>1 year after last action</u>
2.6	Enquiries and Complaints		
2.6.1	<u>The management of enquiries, submissions and complaints which result in significant changes to policy or procedures</u>	<u>Reports</u> <u>Returns</u> <u>Correspondence</u> <u>Area Forum Queries</u>	<u>5 years</u>
2.6.2	<u>The management of detailed and routine responses on council actions, policy or procedure</u>	<u>Reports</u> <u>Returns</u> <u>Correspondence</u> <u>Ombudsman</u>	<u>5 years</u>
2.7	Quality and Performance Management		
2.7.1	<u>Monitoring or reviewing the quality, efficiency, or performance of a local authority service or unit</u>	<u>Corporate Performance Reports</u>	<u>3 years</u>
2.7.2	<u>Assessing the quality, efficiency, or performance of a local authority service or unit</u>	<u>Audit and Inspection reports</u>	<u>3 years</u>
2.8	Public Relations - Publications		
2.8.1	<u>The process of designing information for publication</u>		<u>Destroy six months after publication has been distributed and all administrative use is concluded</u>
2.8.2	<u>The published work of the local authority</u>	<u>Newsletters</u> <u>Annual reports</u> <u>Community Strategy Summary</u> <u>Area Forum Progress Reports</u>	<u>Five copies from initial print run to be archived as a permanent record.</u>
2.9	Public Relations – Media Relations		
2.9.1	<u>Interaction with the media</u>	<u>Enquiries</u> <u>Releases</u> <u>Statements</u> <u>Briefing Papers</u>	<u>All logged electronically on Newsflash</u>
2.9.2	<u>Media publications concerning local authorities</u>	<u>Press cuttings</u> <u>Media reports</u>	<u>All logged electronically. Physical clippings retained for one year from date of publication</u>
2.10	Marketing		
2.10.1	<u>Developing and promotion of local authorities campaigns events</u>		<u>3 years</u>
2.11	Civic and Royal Events		
2.11.1	<u>Recording of ceremonial events and civic occasions</u>	<u>Visitors book</u> <u>Audio tapes</u> <u>Video tapes</u> <u>Photographs</u>	<u>Permanent</u>

Section 3 Legal Services

<u>Ref No</u>	<u>Function Description</u>	<u>Examples of Records</u>	<u>Retention Periods (Authority)</u>
3.1	All Case Files		
3.1.1	<u>Working files and papers.</u>	<u>Section 106 agreements, TPO's, Leases, licences and general matters.</u>	<u>Destroy paper copies 3 years after matter closed. Retain electronic copies for period identified by Legal Services Manager</u>
3.2	Litigation		
3.2.1	<u>The process of managing, undertaking or defending for or against litigation on behalf of the local authority</u>	<u>Criminal case file Civil case file Correspondence</u>	<u>7 years after last action.</u>
3.2.2	<u>The process of providing legal advice on a point of law</u>		<u>7 years after last action Unless a major precedent, then review</u>
3.3	Agreements		
3.3.1	<u>Process of agreeing terms between organisations</u> Note: this does not include contractual agreements	<u>Concordat</u>	<u>6 years after agreement expires or is terminated</u>
3.4	Conveyance - see also Property Acquisition and Disposal		
3.4.1	<u>Deeds of Title</u>	<u>Deeds of Covenant</u>	<u>Permanent</u>
3.4.2	<u>The process of changing ownership of land or property</u>	<u>Conveyancing files</u>	<u>12 years after closure</u>

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Section 4 – Quotations (U£100k), Contracts (O£100k) and Tendering

Ref No	Function Description	Examples of Records	Retention Periods (Authority)
4.1	Pre Contract Advice		
4.1.1	<u>The process of calling for and evaluating expressions of interest.</u>	<u>Pre Qualification Questionnaire (PQQ)</u> <u>PQQ evaluation spreadsheet.</u>	<u>Destroy 6 months after contract let or not proceeded with.</u>
4.2	Specification and Contract Development		
4.2.1	<u>Tender Specification</u>	<u>Invitation to quote or tender including specification</u> <u>Note: For project files containing drafts leading to a final version these records can be destroyed.</u>	<u>1 year after contract has been completed</u>
4.3	Tender Issuing and Return		
4.3.1	<u>Return of Tender process and tender opening</u>	<u>Opening Record Book</u> <u>Tender Envelope</u>	<u>Indefinite</u> <u>Forms part of main contract</u>
4.4	Evaluation of Tender		
4.4.1	<u>Summary tender evaluation criteria</u>	<u>Evaluation spreadsheet</u>	<u>Destroy at end of contract or after 6 months.</u> <u>Contracts Under Seal – paper copy</u> <u>Destroy 12 years after the terms of contract have expired.</u> <u>Electronic Copies of both types. Retain for 12 years (Statutory)</u>
4.4.2	<u>Successful Tender Document</u>	<u>Tender Documents Quotations</u>	<u>Ordinary Contracts – Paper copy</u> <u>Destroy 1 year after the terms of contract or any warranties have expired.</u> <u>Contracts Under Seal – paper copy</u> <u>Destroy 12 years after the terms of contract have expired.</u> <u>Electronic Copies of both types. Retain for 12 years (Statutory)</u>
4.4.3	<u>Unsuccessful Tender Document</u>	<u>Tender documents Quotations</u>	<u>Destroy at end of contract or 3 years after start of contract. Whichever is soonest.</u>
4.5	Post Tender Negotiation		
4.5.1	<u>The process in negotiation of a contract after a preferred tender is selected</u>	<u>Clarification of contract</u> <u>Post tender negotiation minutes</u>	<u>To be kept as part of the contract</u>

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4.6	Awarding of Contract			Formatted Table
4.6.1	The process awarding of contract	Under £100k. Purchase Order Over £100k. Signed contract	Current + 6 years in accordance with Financial Regulations . Contracts Under Seal – paper copy Destroy 12 years after the terms of contract have expired. Electronic Copies of both types. Retain for 12 years (Statutory)	
4.7	Contract Management			
4.7.1	Contract management operation and monitoring	Service Level Agreements Contract and Statistical Monitoring Reports Complaints Disputes on payment	6 months after the terms of contract have expired	
4.7.2	Amendment of contract	Minutes and papers of meetings Changes to requirements Variation forms Extension of contract	To be passed to Legal services to be stored with the contract.	

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Section 5 – Human Resources

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<u>Ref No</u>	<u>Function Description</u>	<u>Examples of Records</u>	<u>Retention Periods (Authority)</u>
5.1	<u>Core Personnel Information</u>		
5.1.1	<p><u>Basic HR information required for employment purposes, including:</u> <u>Name</u> <u>DOB</u> <u>Gender</u> <u>Ethnicity</u> <u>Disability status</u> <u>Address</u> <u>Contact telephone numbers</u> <u>National Insurance Number</u> <u>Work Permit records (if applicable)</u> <u>Date of appointment</u> <u>Continuous service date</u> <u>Bank details</u> <u>Employment history details, including position/designation titles and dates posts held</u> <u>Basic salary</u> <u>Allowances payable</u> <u>Hours of work</u> <u>Car allowances payable</u> <u>Emergency contact details</u> <u>Pension scheme contribution bands</u></p>	<p><u>Personnel file held for each employee including:</u> <u>Job application form</u> <u>Equal opportunities monitoring form</u> <u>Rehabilitation of Offenders disclosure form</u> <u>Pre-employment medical questionnaire</u> <u>References</u> <u>Letter of appointment and contract of employment and acceptance thereof</u> <u>Copies of qualification certificates</u> <u>Confirmation of eligibility to work in the UK</u> <u>Information relating to pre-employment medical (if any)</u> <u>Information relating to probationary period</u> <u>Pension scheme application form (?)</u> <u>Job description and personal specification</u> <u>Details of political restriction (if any)</u> <u>Details of hours of work</u> <u>Records of any changes to job role, job description or other terms and conditions of employment</u></p> <p><u>HR system</u></p>	<p><u>Permanent</u></p> <p><u>Details retained on Employee Personal File – file archived after employment ends – file held on site for 12 months and then retained off site indefinitely</u></p>
5.1.2	<p><u>Records relating to staff working with children and vulnerable adults</u></p>	<p><u>Confidential file used to hold completed checks</u></p> <p><u>HR system</u></p>	<p><u>Originals of checks – retained for 6 months</u> <u>A record that a CRB check has been undertaken is retained indefinitely</u> <u>NB. Details of the check are destroyed after 6 months in accordance with CRB requirements</u></p>
5.2	<u>Employee Relations Records</u>		
5.2.1	<p><u>Records of consultation and negotiation with recognised trade unions relating to employee relation matters</u></p>	<p><u>Minutes from Senior Management/Trade Union meetings</u> <u>Evidence of consultation for specific projects</u> <u>Minutes from Joint Employee Committee meetings</u> <u>Minutes/notes from meetings to discuss specific projects/incidents</u> <u>Local Agreements (contained within Employee Handbook)</u></p>	<p><u>Indefinite</u></p> <p><u>Kept until superseded</u></p>

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5.2.2	Records of disciplinary, grievances and harassment investigations	Correspondence relating to investigation Investigating Officers report and supporting documentation (including witness statements where applicable) Records of meetings/hearings undertaken as part of an investigation Record of the outcome of any hearing (including if the case is unfounded) Records of any appeal processes	Records of investigations held permanently on personal file Warnings to be disregarded in relation to disciplinary procedures after the timescale agreed in the decision of the hearing panel chair
5.3 Equal Opportunities Monitoring			
5.3.1	As per 5.1.1	Equal Opportunities Monitoring form	As per 5.1.1
5.4 Occupational Health			
5.4.1	Records of specific activities undertaken to check or ensure the health of an employee	Pre-employment medical questionnaire Occupational health referral forms and associated medical reports Records of adjustment to work place Records of pre-employment meetings Records of meetings to discuss specific issues	Permanent Details retained on Employee Personal File
5.5 Recruitment			
5.5.1	The selection of successful candidates to vacancies within the organisation	Job application form Equal opportunities monitoring form Rehabilitation of Offenders disclosure form Interview notes Copies of qualification certificates Confirmation of eligibility to work in the UK References	Permanent Details retained on Employee Personal File and key records also held on HR system
5.5.2	Records of unsuccessful job applicants for vacancies within the organisation	Job application form Equal opportunities monitoring form Rehabilitation of Offenders disclosure form Interview notes (if selected for interview) Copies of qualification certificates Confirmation of eligibility to work in the UK References	6 months
5.6 Staff Monitoring (General)			
5.6.1	Performance	Correspondence/reports relating to probationary periods Performance/improvement plans (where applicable) Records of performance as assessed via annual appraisal process	Permanent Details retained on Employee Personal File Records of performance ratings also held on HR system

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5.6.2	Leave/attendance records	Sickness absence records Special leave requests Jury/Study Leave Records of return to work discussions Annual leave requests and record cards Flexitime sheets Records of maternity, paternity, parental and adoption leave Record of KIT days	Permanent Details retained on Employee Personal File Records also held on HR system Flexitime records held on Wintime system
5.6.3	Stress risk assessments	Completed forms referred to Personnel/Safety and Welfare	Permanent Details retained on Employee Personal File
5.7	Termination of Employment		
5.7.1	Records relating to the termination of employment of an employee	Correspondence to/from employee regarding arrangements for termination Redundancy payment calculations (if applicable) Pension estimates (if applicable) Correspondence/records of any meetings leading to a dismissal (if applicable)	Permanent Details retained on Employee Personal File Record of leaving date and leaving reason held on HR system
5.8	Training and Development		
5.8.1	Records relating to training/development activities undertaken by employees	Record of date(s), course title and costs	CPD – Permanently recorded on CIPHR. Administration paperwork retained (1 full previous year and 1 rolling year). In House – Permanently recorded on CIPHR. Administration paperwork retained (2 full previous years and 1 rolling year)
5.8.2	Records relating to qualification training undertaken by employees	Post entry training scheme application form Records of costs incurred Correspondence with employee/qualification provider Evidence of progress/completion of qualification	Permanently recorded on CIPHR and completed paperwork is retained in Employee Personal File. Post Entry paperwork is kept in A4 files in locked cupboard until the employee has passed the qualification, then it is finalised and filed away.
5.9	Appointments of Statutory Officers		
5.9	Appointment of an individual for a statutory position	As per 5.1.1	As per 5.1.1
5.10	Miscellaneous Employment Records		
5.10.1	Death in Service beneficiaries	Completed form	Details retained on personal file – kept until superseded by updated form
5.10.2	Eye Tests	Record of test dates	Permanent – held on HR system
5.10.3	Bank/Building society references	Correspondence to/from external organisation	Permanent – held on personal file

5.11	Pay, Payroll and Pension Records			Formatted: Left: 85.05 pt
5.11.1	<u>Starters, Leavers and Transfers</u>	<u>As per 5.1.1.</u>	<u>As per 5.1.1.</u>	Formatted: Indent: Left: 8.85 pt, Right: 10.3 pt
5.11.2	<u>Change of personal details (including bank account, address, name, tax circumstances, voluntary/statutory deductions)</u>	<u>Change form, letter, copy of marriage certificate, copy of decree absolute, P45, P46, deduction authorisation forms. Held on Personnel file as per 5.1.1.</u> <u>Age exception certificate</u>	<u>As per 5.1.1.</u> <u>Original returned to employee on termination of employment. Copy retained on Personnel file as per 5.1.1.</u>	Formatted Table Formatted: Indent: Left: 8.85 pt, Right: 10.3 pt Formatted: Indent: Left: 8.85 pt, Right: 10.3 pt
5.11.3	<u>Statutory Payments. Records of SMP, SSP, SPP, SAP payments made and leave taken</u>	<u>Correspondence to/from employee. Statutory forms Mat B1, SC3 etc held on Personnel file as per 5.1.1.</u> <u>Fit notes and other sickness forms held by Safety and Welfare section. Details relevant to personnel are recorded on CIPHR</u> <u>Records of payments made and calculations held by outsourced payroll provider</u>	<u>As per 5.1.1.</u>	Formatted: Indent: Left: 8.85 pt, Right: 10.3 pt
5.11.4	<u>Overpayment documentation</u>	<u>Correspondence to/from employee held on Personnel file as per 5.1.1.</u>	<u>As per 5.1.1.</u>	Formatted: Indent: Left: 8.85 pt, Right: 10.3 pt
5.11.5	<u>Personal payroll history. Record of pay history, performance related pay, overtime pay, allowances, pay enhancements, other taxable allowances, payment for untaken leave, reduced pay, no pay, maternity leave. Tax and NI deductions</u>	<u>Timesheets and other input documentation.</u> <u>Electronic records held on payroll system by outsourced payroll provider.</u>	<u>Held on site for current year then sent to storage for a further 6 years.</u>	Formatted: Indent: Left: 8.85 pt, Right: 10.3 pt
5.11.6	<u>Pension Administration</u>	<u>Employee & employer forms held on Personnel file as per 5.1.1.</u> <u>Bandings information held on CIPHR</u> <u>Contributions records held on payroll system by outsourced payroll provider.</u>	<u>As per 5.1.1.</u>	Formatted: Indent: Left: 8.85 pt, Right: 10.3 pt
5.11.7	<u>Travel & Subsistence claims</u>	<u>Claims held by outsourced payroll provider</u>		Formatted: Indent: Left: 8.85 pt, Right: 10.3 pt
5.11.8	<u>Year End processes</u>	<u>Collated information on individual taxable benefits, PSA calculations, Dispensation & PSA documentation, payment records. Pension returns, P11D, P9D, P14 P35, P60 etc stored electronically by outsourced payroll provider.</u>	<u>Held on site for current year and then stored off site for a further 6 years.</u>	Formatted: Indent: Left: 8.85 pt, Right: 10.3 pt
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Section 6 - Health and Safety

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Ref No	Function Description	Examples of Records	Retention Periods (Authority)
6.1	Health		
6.1.1	Health referrals, including medical reports from doctors or consultants, corres with the appointed medical advisor to the PCSPS currently BMI Health Services, the Civil Service Occupational Health Service or the Medical Advisory Service MAS	Letters Correspondence	All kept on personal files.
6.1.2	Papers relating to any injury on duty	Incident Reporting Form 2 nd Party Claims	3 years
6.1.3	Medical/Self Certificates – unrelated to industrial injury		3 years
6.2	General Public Services		
6.2.1	Records of the development and establishment of the Health and Safety Policy and plans.	Health and safety policies. Health & safety management strategies.	Reviewed Annually
6.2.2	Monitoring health & safety performance.	Health & Safety Audit records Records of actions to address issues raised.	Completion of audit plus 5 years.
6.2.3	Recording consultation and communication with employees.	Records documenting the formation, proceedings and decisions of safety committees formed under the Safety Representatives and Safety Committee Regulations 1977 or other consultation/ communication with employee representatives under the Consultation with Employees Regulations 1996.	Life of the Committee or the current year plus 3 years.
6.2.4	Recording consultation and communication with employees.	Records documenting the formation, proceedings and decisions of safety committees formed under the Safety Representatives and Safety Committee Regulations 1977 or other consultation/ communication with employee representatives under the Consultation with Employees Regulations 1996.	Life of the Committee or the current year plus 3 years.
6.2.5	Recording consultation and communication with employees.	Records documenting the formation, proceedings and decisions of safety committees formed under the Safety Representatives and Safety Committee Regulations 1977 or other consultation/ communication with employee representatives under the Consultation with Employees Regulations 1996.	Life of the Committee or the current year plus 3 years.

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6.3	Risk Assessments & Procedures		
6.3.1	<u>Assessing the level of work and the process to eliminate related risk.</u>	<u>Results of risk assessments.</u>	<u>Life of the work plus 6 months</u>
6.3.2	<u>Records of hazardous substances present or in use in the workplace & exposure to them.</u>	<u>Record of hazardous substances present or in use.</u>	<u>While product is in use.</u>
6.3.4	<u>Process to determine the presence of asbestos</u>	<u>Documented assessments to determine the presence of asbestos</u>	<u>Elimination of asbestos plus 5 years.</u>
6.4	Site & Equipment Safety		
6.4.1	<u>Process of monitoring land, buildings, facilities or operations for purposes of ensuring health and safety.</u>	<u>Site & safety inspection records.</u> <u>Records of actions to address issues raised.</u>	<u>Until superseded</u>
6.4.2	<u>Monitoring work equipment for purposes of ensuring health and safety.</u>	<u>Equipment repair log.</u> <u>Records of the issue of protective equipment.</u>	<u>Date of examination, test or repair plus 5 years.</u>
6.4.3	<u>Monitoring work equipment for purposes of ensuring health and safety.</u>	<u>Equipment repair log.</u> <u>Records of the issue of protective equipment.</u>	<u>Date of examination, test or repair plus 5 years.</u>
6.5	Accidents		
6.5.1	<u>Process that records and notifies the HSE of injuries, ill-health, dangerous occurrences and notifiable diseases affecting/involving adults.</u>	<u>Accident book records.</u> <u>Accident reports.</u> <u>Incident reports.</u> <u>Work related Ill-health reports.</u> <u>Notifiable diseases reports.</u>	<u>The date of recording or HSE notification plus 3 years.</u>
6.5.2	<u>Process that records injuries, ill-health, dangerous occurrences and notifiable diseases affecting/involving children.</u>	<u>Accident book records.</u> <u>Accident reports.</u> <u>Incident reports.</u> <u>Work related Ill-health reports.</u> <u>Notifiable diseases reports.</u>	<u>Until the child has reached the age of 21.</u>
6.5.3	<u>Investigation of accidents, dangerous occurrences and notifiable diseases.</u>	<u>Investigation reports.</u> <u>Witness Statements.</u>	<u>3 years from the closure of the investigation.</u>

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Section 7 - Finance

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<u>Ref No</u>	<u>Function Description</u>	<u>Examples of Records</u>	<u>Retention Periods (Authority)</u>
<u>7.0</u>	<u>Financial Management</u>	<u>This Schedule is also part of the Council's Financial Regulations.</u>	<u>All - Current Year + 6 unless otherwise indicated. (Statutory Retention Requirements)</u>
7.1	Accounts & Audit Reporting		
<u>7.1.1</u>	<u>Process that consolidates financial transactions on an annual basis for corporate reporting purposes</u>	<u>Consolidated annual reports and financial statements</u> <u>Statement of financial position</u> <u>Operating statements</u> <u>General ledger</u> <u>Grant claims / returns</u>	
<u>7.1.2</u>	<u>Process that supports and consolidates financial transactions on a periodic less than annual basis, superseding those from the previous period. NOT journals, subsidiary ledgers or cash books</u>	<u>Consolidated monthly and quarterly reports & financial statements</u> <u>Working papers for the above</u> <u>Monthly accrual statements</u> <u>Cashflow statements</u> <u>Creditor listings and reports</u> <u>Debtor listings & reports</u>	
7.2	Financial Transactions Management		
<u>7.2.1</u>	<u>Management of the approvals process for purchase, including investigations</u>	<u>Appointments & delegations</u> <u>Audit investigations</u>	
<u>7.2.2</u>	<u>Identification of the receipt, expenditure and write offs of public monies</u>	<u>Allowances</u> <u>Creditors of Payroll</u> <u>Overpayments</u> <u>Invoices</u> <u>Credit card statements</u> <u>Cash books</u> <u>Receipts</u> <u>Cheque counterfoils</u> <u>Bank statements</u> <u>Subsidiary ledgers annual</u> <u>Journals annual</u> <u>Vouchers</u> <u>Till Rolls (Car Parks)</u> <u>BACS transaction, amendment and error reports</u> <u>Merchant copies of credit/debit card receipts</u> <u>Write off schedules</u>	<u>Where retained for reconciliation purposes. Merchant copies of credit/debit card receipts must not contain the full 16 digit PAN number. All but the last 4 digits of the PAN must be obscured as soon as the receipt is printed.</u> <u>Indefinitely</u>
<u>7.2.3</u>	<u>Process for the provision and support for individuals using public transport</u>	<u>Applications</u> <u>Card issue</u> <u>Rail warrants</u>	<u>6 years after the conclusion of the financial transaction that the record supports</u>
<u>7.2.4</u>	<u>Processes that balance & reconcile financial accounts</u>	<u>Reconciliation (including bank)</u> <u>Summaries of accounts</u>	<u>6 years after the end of the financial year in which the records were created</u>

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7.3	<u>Financial Provisions Budgets & Estimates</u>		
7.3.1	<u>Process of finalising local authorities annual budget</u>	<u>Annual budget</u>	<u>5 years</u>
7.3.2	<u>Process of developing local authorities annual budget</u>	<u>Draft budgets</u> <u>Departmental budgets</u> <u>Draft estimates</u>	<u>6 years after annual budget adopted by local authorities</u>
7.3.3	<u>Process of reporting which examines the budget in relation to actual revenue and expenditure</u>	<u>Monthly statements</u>	<u>Destroy after next year's annual budget has been adopted by Local Authorities</u>
7.4	<u>Loans and Investments</u>		
7.4.1	<u>Borrowing money to enable a local authority to perform its functions and exercise its powers</u>	<u>Loan files</u> <u>PWLB Year End Statements</u>	<u>7 years after the loan has been repaid</u>
7.4.2	<u>Summary management of loans</u>	<u>Loan certificates and registers</u>	<u>5 years</u>
7.4.3	<u>Investing money to generate income.</u>	<u>Investment files</u>	<u>6 years after the investment has been repaid</u>
7.4.4	<u>Summary management of investments</u>	<u>Investment certificates and registers</u>	<u>6 years</u>
7.5	<u>Housing</u>		
7.5.1	<u>Mortgages</u>	<u>Mortgage agreements</u> <u>Correspondence</u>	<u>Last payment + 6 years if signed</u> <u>Last payment +12 years if unsigned</u>
7.5.2	<u>"Right to Buy"</u>	<u>Agreement concerning sale</u>	<u>2 years after sale of house</u>
7.5.3	<u>Home Improvement Grants</u>	<u>Agreement to pay loan</u> <u>Details of payments</u> <u>Corres relating to loan</u>	<u>6 years after last payment for grants under £50,000</u> <u>12 years for over £50,000</u>
7.6	<u>Council Tax Valuation</u>		
7.6.1	<u>The valuation of rateable land within a municipal district for the purpose of the making of the rate</u>	<u>Valuation lists</u> <u>Correspondence</u> <u>Objections</u> <u>Reports</u>	<u>Valuation lists-Permanent, 10 years after the year in which the valuation was made</u>
7.7	<u>Property History</u>		
7.7.1	<u>Recording of information for rateable properties identifying the person or company rated, value of the property. Note: records containing primarily accounts information and not being a source of property history, should be disposed of according to the appropriate record class within the Accounts & Audit function</u>	<u>Rate books</u> <u>Rate cards</u> <u>Register of rateable properties</u>	<u>7 years.</u> <u>Tenants Details 20 years</u>
7.8	<u>Rates & Local Authorities Tax Correspondence</u>		
7.8.1	<u>The activity of corresponding with ratepayers in relation to valuations, rates and charges, objections, submissions, appeals, rate remissions and other rates related matters.</u>	<u>Notices</u> <u>Objections</u> <u>Applications</u> <u>Correspondence</u> <u>Rate certificates</u> <u>Notices of acquisition and disposition</u> <u>Rate property files</u>	<u>7 years after last action</u>
7.9	<u>Summary Assets Management</u>		
7.9.1	<u>See Property Management for real property assets. (Section 8)</u> <u>See Transport Management for vehicle assets. (Section 7.19)</u>		

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7.9.2	Summary management reporting on the overall assets of the local authorities	Schedules of acquisitions Consolidated current asset reports Annual reports Summary of current assets Asset registers	5 years 6 years after disposal of item/asset or last one in register
7.10	Asset Monitoring and Maintenance		
7.10.1	Management systems that allow the monitoring & management of assets in summary form	Subsidiary asset registers	10 years after the conclusion of the financial transaction that the record supports
7.10.2	Reporting and reviewing assets status	Returns & reports on asset status Inventories Stocktaking Acquisition and disposal reports & proposals	2 years after administrative use is concluded 2 years
7.10.3	Process of maintaining assets		7 years after last action
7.10.4	Process of maintaining plant & equipment	Service records Plant files	7 years after sale or disposal of asset
7.11	Bank Records		
7.11.1	Cheques and associated records types:-	Paid and Presented Lists Cheque numbers Cancelled Dishonoured Stoppage of cheque Record of open cheque books Record of cheques drawn for payment Bank deposits Bank deposit book/slip/butts Bank deposit summary sheets. Summaries of daily banking. cheque schedules Register of cheques lodged for collection Reconciliation files/sheets	
7.11.2	Unpaid cheque records	Daily list of paid cheques	
7.11.3	Bank statements	Periodic reconciliation Bank certificates of balance	
7.11.4	Electronic banking and electronic funds transfer (CHAPS)		
7.11.5	Cash transactions, payment instructions, deposits and withdrawals		
7.11.6	Securicor Records		
7.12	Expenditure Records including Accounts Payable		
7.12.1	Cash books/sheets Expenditure sheets Petty cash records Record/book/sheet/receipts Postal cash book/ sheets, postage/courier account/cash records,		
7.12.2	Register of postage expenditure,	Postage paid records, postage books/sheets Summary cash books	
7.12.3	Creditors history records, lists/reports		

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7.12.4	Statements of accounts outstanding, outstanding orders Statement of accounts-rendered; statements of accounts – payable Subsidiary records		2 years
7.12.5	Credit notes		
7.13	Ledger Records		
7.13.1	General and subsidiary ledgers produced for preparing certified financial statements or published information	Budget Book Statement of Accounts	Indefinitely
7.13.2	Other ledgers e.g. contracts, costs, purchases, etc		
7.13.3	Creditors ledgers		
7.13.4	Related records		
7.13.5	Audit sheets – ledger postings / transfers		
7.13.6	Journals prime records for the raising of charges Journals routine adjustments		
7.13.7	Trial balances & reconciliation		
7.13.8	Year-end balances, reconciliation and variations to support ledger balances and published accounts		
7.14	Receipts and Revenue Records		
7.14.1	Receipt butts/books; office copies of receipts.	Cashiers', cash register, fines and costs, sale of publications and general receipt books/butts/records	
7.14.2	Cash registers	Butts/copies of cash register forms Cash register reconciliation sheets Cash register audit rolls analysis and summary records Cash register reading books/sheets	
7.14.3	Revenue records	Revenue cash books /sheets/records; receipt cash books/sheets	
7.14.4	Debtors invoices – includes invoices paid and invoices unpaid and registers of invoices – debtors ledgers Source documents/records used for raising of invoices/debit notes		
7.14.5	Debts/refunds	Records relating to unrecoverable revenue, debts and overpayments – include register of debts written off, register of refunds, etc	

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7.15	Stores and Services Records		
7.15.1	<u>Stores records</u>	<u>Delivery dockets</u> <u>Stock/stores control cards/sheets/records</u>	<u>2 years</u>
7.15.2	<u>Stock/stores issue registers/records</u> <u>stocktaking sheets/records – includes inventories, stock reconciliations, stock take reports</u>	<u>Goods inwards books, records,</u> <u>Purchase order records</u> <u>Purchase order books/records</u> <u>Railway/courier consignment books/records</u> <u>Stock transfer forms</u>	<u>6 years after disposal of item/asset, or last one in register</u>
7.15.3	<u>Requisition records</u> <u>Asset registers</u> <u>Assets/equipment</u>		<u>3 years</u>
7.15.4	<u>Financial statements</u>	<u>Ad Hoc Statements</u> <u>Statements/summaries prepared for inclusion in the quarterly and annual reports</u>	<u>1 year</u>
7.15.5	<u>Periodic financial statements prepared for management on a regular basis</u>		<u>2 years</u> <u>Destroy when cumulated into quarterly or annual reports</u>
7.16	Systems Management		
7.16.1	<u>Process to develop or extend the capabilities of a system.</u>		<u>Retain for life of system</u>
7.16.2	<u>Process to implement a system.</u>	<u>Implementation plan</u>	<u>Review 6-12 months after Implementation</u>
7.16.3	<u>Process to support and administer a system.</u>		<u>5 years after last action</u>
7.17	Transport Management		
7.17.1	<u>Acquisition and disposal of vehicles through lease or purchase</u>	<u>Leases, Contracts, Quotes, Approvals</u> <u>Fleet authorisation numbers</u>	<u>7 years after the disposal of the vehicle</u>
7.17.2	<u>Managing allocation & maintenance of vehicles</u>	<u>Approvals as drivers</u> <u>Allocations & authorisations for vehicles</u> <u>Maintenance</u>	<u>7 years after the sale or disposal of the vehicle</u>
7.17.3	<u>Recording vehicle usage</u>	<u>Vehicle usage reports</u>	<u>18 months – VOSA</u> <u>7 years HMRC</u>
7.17.4	<u>Recording drivers usage</u>	<u>Vehicle log book</u>	<u>18 months – VOSA</u> <u>7 years HMRC</u>
7.18	Insurance Policy Management		
7.18.1	<u>Summary management of insurance arrangements</u>	<u>Insurance register</u>	<u>Indefinite</u>
7.18.2	<u>Insuring local authority officers, property, vehicles and equipment against negligence, loss or damage</u>	<u>Insurance policies</u> <u>Correspondence</u> <u>Schedules</u> <u>Valuations</u>	<u>Indefinite</u> <u>6 years</u>
7.18.3	<u>Renewing insurance policies</u>	<u>Insurance policy</u> <u>Renewal records</u> <u>Correspondence</u>	<u>5 years after the insurance policy has been renewed</u>
7.18.4	<u>Insurance Claims Management</u> <u>Process that records insurance claims against the local authority or local authority officers</u>	<u>Claims records</u> <u>Correspondence</u>	<u>7 years after all obligations/entitlements are concluded, allowing for the claimant to reach 25 years of age</u>
7.19	<u>Audit - Audit is subject to its own retention policy.</u>		

Section 8 – Property and Building Records

<u>Ref No</u>	<u>Function Description</u>	<u>Examples of Records</u>	<u>Retention Periods (Authority)</u>
8.1	<u>Property & Land Management</u>		
8.1.1	<u>Reports to management on overall property of the local authority</u>	<u>Consolidated property & buildings annual reports</u> <u>Summary of leased property</u> <u>Summary of owned property</u> <u>Site register</u> <u>Register of leases</u>	<u>6 years after the conclusion of the financial year in which the records were created</u>
8.2	<u>Property Acquisition and Disposal</u>		
8.2.1	<u>See also Conveyance Management of the acquisition by financial lease of purchase process for real property.</u>	<u>Plans</u>	<u>QA PMP3 Files retained for 10 years. Offer material re major/significant properties to Archivist for review</u>
8.2.2	<u>Management of the disposal by sale or transfer for real property</u>	<u>Legal documents relating to the sale</u> <u>Particulars of sale documents</u> <u>Tender documents</u> <u>Conditions of contracts</u>	<u>QAPMP2 (Competitive Sale) Files retained for 10 years after sale.</u> <u>QAPMP5a/b (Right to Buy) Sale records retained indefinitely and held in deed packet</u>
8.3	<u>Property Development and Renovation</u>		
8.3.1	<u>Management of all other buildings and estates</u>	<u>Project specifications</u> <u>Plans</u> <u>Installation manuals</u> <u>Certificates of approval</u>	<u>Retain for life of property or until sold</u>
8.3.2	<u>Process of development and renovation of property</u>	<u>Work orders</u> <u>Tender documents</u> <u>Conditions of contracts</u>	<u>7 years after the conclusion of the transaction that the record supports</u>
8.4	<u>Bills of quantity</u>		<u>Review 12 years after project completion</u>
8.5	<u>Schedules of known tenant alterations</u>		
8.5.1	<u>Tenant alterations</u>		<u>Retain until property sold.</u>
8.6	<u>Tests and Statutory Certificates</u>		<u>12 years after expiry or when superseded</u>
8.7	<u>Planning consents and correspondence</u>		
8.7.1	<u>Alterations to buildings</u> <u>New buildings</u>		<u>Review 12 years after issue</u>
8.7.2	<u>Listed buildings consents and correspondence</u>		<u>Review 12 years after issue</u>
8.7.3	<u>Correspondence</u> <u>Consultants and Contractors</u>		<u>Review 12 years after date of last paper</u>
8.7.6	<u>Photographic records</u>		<u>Review 10 yrs after compilation</u>
8.7.8	<u>Maintenance manuals</u>		<u>Review 2 years after revision or cancellation</u>
8.7.9	<u>Maintenance Contracts</u>		<u>Review after 7 years after contract ends</u>

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8.8	<u>Major Projects</u>		
8.8.1	<u>Record set</u> <u>All other copies</u>	<u>Minutes & papers</u>	<u>Review 12 years after project completion</u>
8.8.2	<u>Tender and evaluation papers</u>		<u>Successful review after 7 years</u> <u>Unsuccessful review after 1 year</u>
8.9	<u>Architectural</u>		
8.9.1	<u>Architectural</u>		<u>Life of building – CDM H&S File</u>
8.9.2	<u>Structural engineering</u>		<u>Life of building – CDM H&S File</u>
8.9.3	<u>Mechanical and electrical engineering</u>		<u>Life of building – CDM H&S File</u>
8.9.4	<u>Drainage services</u>		<u>Life of building – CDM H&S File</u>
8.9.5	<u>Building condition surveys</u>		<u>Review 10 years after issue</u>
8.9.6	<u>Quinquennial inspections</u>		<u>Review 15 years after issue</u>
8.9.7	<u>Fire precautions and services</u>		<u>Life of building – CDM H&S File</u>
8.9.8	<u>Asbestos inspections</u>	<u>Original surveys reports</u>	<u>Retain for life of building, review on disposal of building</u>
8.9.9	<u>Conservation Historic & Listed Buildings</u>	<u>Listed Building and Scheduled Ancient Monument Consents</u>	<u>Review 12 years after issue</u>
8.9.10	<u>Other specialist reports not referred to above</u>		<u>Review 12 years after compilation</u>
8.9.11	<u>Buildings Records, Maps, Plans, & Drawings Site surveys</u>		<u>Life of building – CDM H&S File</u>
8.9.12	<u>Measured surveys</u>		<u>Review 10 years after compilation or on disposal of building</u>
8.9.13	<u>Archaeological record</u>		<u>Review 25 years after compilation</u>
8.9.14	<u>Design drawings</u>		<u>Life of building – CDM H&S File</u>
8.9.15	<u>Perspective drawings</u>		<u>Review 5 years after compilation</u>
8.9.16	<u>Working copies of above</u>		<u>Review 5 years after compilation</u>
8.9.17	<u>Consultants and contractors drawings and associated records</u>		<u>Life of building – CDM H&S File</u>
8.9.18	<u>'As built' or 'as installed' drawings</u>		<u>Life of building – CDM H&S File</u>
8.9.19	<u>Presentation records, include drawings, photographs, models, etc</u>		<u>Review 5 years after compilation</u>
8.9.20	<u>Competition drawings</u>		<u>Review successful after 7 years</u> <u>Review unsuccessful after 1 year</u>
8.9.21	<u>Feasibility studies, preliminary designs and other proposals not implemented</u>		<u>Indefinitely at least life of building</u>
8.9.22	<u>Computer Aided Design CAD records</u>		<u>At least life of building</u>

8.9.23	Maintenance schedules		Review 10 years after final entry
8.9.24	Maintenance diaries or logs		Review 10 years after final entry
8.9.25	Installation surveys plant & services		Life of building – CDM H&S File
8.9.26	Maintenance programme		Review 10 years after final entry
8.9.27	Maintenance and operational manuals		Life of building – CDM H&S file
8.9.28	Health and safety inspection reports		Until superseded
8.9.29	Plant and equipment condition surveys		Review 10 years after final entry
8.9.30	Maintenance contracts and related correspondence		Review 5 years after end of contract
8.10	Meetings with contractors		
8.10.1	Agenda, minutes etc, record set	Agenda, minutes etc, other copies Drafts, domestic arrangements etc	Review 12 years after project completion
8.10.2	Asbestos registers		Review 30 years after date of event
8.10.3	Asbestos incidents- correspondence, reports and papers		Indefinitely, transfer to new freeholder on disposal
8.10.4	Title deeds	Also other documents relating to freehold property – not public records	Indefinitely in deed packet
8.10.5	Leases signed copies		Indefinitely in deed packet
8.10.6	Memoranda of terms		Indefinitely in deed packet
8.10.7	Subletting agreements		Indefinitely in deed packet
8.10.8	Way leave agreements		Indefinitely in deed packet
8.10.9	Landlord's consents		Indefinitely in deed packet
8.10.10	Licences		Indefinitely in deed packet

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Section 9 – Environmental Health

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<u>Ref No</u>	<u>Function Description</u>	<u>Examples of Records</u>	<u>Retention Periods (Authori</u>
9.1 Food and Health and Safety			
9.1.1	Health & Safety notices	Health & Safety Act 1974, Regulations and Orders made thereunder.	Duration of notice + plus 6 years (insurance claims reasons).
9.1.2	Accident report forms	Health & Safety Act 1974	Current plus 6 years (insurance claims reasons).
9.1.3	Food Poisoning results	Food & Safety Act 1990	3 years after all actions have been completed.
9.2 Licensing			
9.2.1	Applications for individual premises and vehicle licences.	Application forms, photos correspondence etc	3 years after cease of licence
9.3 Choice-Based Lettings & Housing Options Service			
9.3.1	Administration of housing register and choice-based lettings scheme	Application forms and all letters and supporting material	2 years
9.3.2	Prevention of Homelessness	Letters and all information relating to those seeking assistance to prevent their homelessness	2 years
9.8.3	Homelessness	Homelessness applications and all supporting letters and information	2 years
9.4 Cemeteries & Crematoria			
9.4.1	Statutory documentation	Certificate of Medical Attendance	Original – 2 years Electronic - Indefinitely
9.4.2	Summary management systems that record the location of burials and identity of deceased individuals	Register of interments Cemetery register Cemetery plans	Burial records kept Indefinitely
9.5 Civil Emergency			
9.5.1	Activities that report on all civil emergencies in the local community, whether the emergency plan has been invoked or not	Borough Emergency Response and Recovery Plan	Indefinite
9.6 Waste management data retention records			
9.6.1	Waste transfer notes Commercial waste	Bulk annual notes	Current year +2
9.6.2	Waste transfer notes Household waste	Bulk annual notes	Contract +2
9.6.3	Weighbridge tickets Non recyclable waste	Individual notes (contractor)	Current year +2
9.6.4	Weighbridge Tickets Recyclable waste	Individual notes (Council Copy)	Not retained as required to be passed to County for Recycling Credits
9.6.5	Commercial waste contracts	Contract document (electronic or paper)	Contract period +6
9.6.6	Garden Waste Contracts Household waste	Electronic details	Contract period +1
9.6.7	Bring Sites Agreements Household waste	Agreement (electronic or paper)	Agreement +2
9.6.8	Waste Carriers Licence	Licence	Licence period +6

9.6.9	Waste Collection Contracts Contract Documents	Contract	Contract Period +6	Formatted: Font: 10.5 pt
9.6.10	Waste Collection Contracts Contract Documents	Work instructions (Paper)	Current +2	Formatted: Font: 10.5 pt
9.6.11	Waste Collection Contracts Contract Documents	Work instructions (Electronic)	Contract +6	Formatted: Font: 10.5 pt
9.6.12	Waste Collection Contracts	Formal Correspondence	Contract +6	Formatted: Font: 10.5 pt
9.6.13	Hazardous Waste Collections Household waste	Invoice electronic	Current +3	Formatted: Font: 10.5 pt
9.6.14	Personal Data Household waste	Service Request (Electronic)	Period of Service +2	Formatted: Font: 10.5 pt
9.6.15	Sensitive Personal Data Household waste	Service Request (Electronic)	Period of Service + 6 months	Formatted: Font: 10.5 pt
9.7	Community Safety and Neighbourhood Nuisance			Formatted: Font: 10.5 pt
	CSNN is subject to its own retention policy.			Formatted: Font: 10.5 pt
9.8	Car Parks			Formatted: Font: 10.5 pt
9.8.1	Excess Charge Payments		1 year	Formatted: Font: 10.5 pt
9.8.2	Long Tern Season Tickets	Application Forms	Destroyed on Expiry	Formatted: Font: Bold
9.8.3	Penalty Charge notices	Road Traffic Regulation Act 1984	7 years	Formatted: Font: Bold
9.8.4	Excess Charge Posting Reports		7 years	
9.8.5	Monthly Transaction Reports.		7 years	
9.8.6	Ticket Machine Audit	Tickets and corresponding details	7 years	
9.8.7	Cash Count Slips.		7 years	
9.8.8	Car Park Work Instructions		7 years	

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Section 10 – Planning and Regeneration

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<u>Ref No</u>	<u>Function Description</u>	<u>Examples of Records</u>	<u>Retention Periods (Authority)</u>
10.1	<u>Planning Development and Land Use</u>		
10.1.1	<u>Developing a vision and strategic direction regarding existing/future land use within the LA.</u> <u>Development of local</u>	<u>Local Plan</u> <u>LDF documents</u>	<u>15 years</u>
10.1.2	<u>Consultation to gain approval for the LDF or Local Plans.</u>	<u>Consultation docs and replies</u> <u>Inquiries and Objections</u> <u>Public Inquiry documents</u>	<u>5 years from date of adoption of document.</u>
10.1.3	<u>Receiving, considering and responding to submissions and objections to planning schemes and amendments</u>	<u>Planning application files and plans</u> <u>Correspondence regarding any objections</u>	<u>Retain planning records (can be electronic etc.)</u>
10.1.4	<u>Controlling development through applications for planning permission</u>	<u>Planning application files and plans</u> <u>Correspondence regarding any objections</u> <u>Appeal papers</u> <u>Planning application register</u>	<u>Must keep the planning files (not necessarily hard copy).</u> <u>Recent Ombudsman ruling against Warrington BC highlights this</u>
10.1.5	<u>Maintaining and developing open spaces for public amenity</u>	<u>Tree preservation orders</u> <u>Public Open Spaces</u> <u>Development plans and correspondence</u> <u>Land purchase agreements</u>	<u>Must retain records of TPO's.</u> <u>Property services will retain records of land ownership.</u>
10.2	<u>Planning Scheme Regulation</u>		
10.2.1	<u>The summary management of planning scheme regulation</u>	<u>Building control registers</u>	<u>15 years after closure</u>
10.2.2	<u>Approving building applications in relation to listed or other significant buildings</u>	<u>Building files and Plans</u> <u>Specifications</u> <u>Corres and Applications</u> <u>Permits</u> <u>Certificates</u>	<u>15 years after construction completed</u>
10.2.3	<u>Approving building applications, for all other buildings</u>	<u>Building files and Plans</u> <u>Specifications</u> <u>Corres and Applications</u> <u>Permits and Certificates</u> <u>Objections</u>	<u>15 years after construction completed</u>
10.3	<u>Infrastructure Management and Maintenance</u>		
10.3.1	<u>Providing municipal services in relation to infrastructure within the local authority</u>	<u>Street files and records</u> <u>Requests for:</u> <u>Hedge clipping</u> <u>Tree planting</u> <u>Naming of streets</u> <u>Numbering of houses</u> <u>Street road limits</u> <u>Street signs</u> <u>Bus shelters</u> <u>Apps to dig up pavements</u> <u>HGV application</u> <u>Advice/comment</u> <u>Level crossings</u> <u>Right of ways</u> <u>Roundabouts</u> <u>Traffic calming measures</u> <u>Street lighting</u>	<u>7 years after last action</u>

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Section 11 – Leisure Services

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<u>Ref No</u>	<u>Function Description</u>	<u>Examples of Records (Authority)</u>	<u>Retention Periods</u>
11.1	Leisure Card	Application Forms	Life of membership + 1 year
11.2	Holiday Schemes and Birthday Parties	Application forms	1 year after event
11.3	Application Forms for Courses & Events	N/A	1 year after event
11.4	Daily pool water testing records	Health & Safety at Work Act 1974	3 Years
11.5	Monthly microbiological pool water testing results		3 Years
11.6	Staff rotas		3 Years
11.7	Facility Inspection records - daily checklists		2 years
11.8	Fire extinguisher Checklists	N/A	2 years
11.9	Emergency Lighting Checklists	N/A	2 years
	Daily pool water testing records	Health & Safety at Work Act 1974	3 Years
11.10	Equipment Safety checklist	Health & Safety at Work Act 1974	2 years
11.11	Risk Assessments	Health & Safety at Work Act 1974	3 Years
11.12	Risk Assessment Action Plans	Health & Safety at Work Act 1974	3 Years
11.13	Accident/incident/"Near Miss" report forms	Health & Safety at Act 1974	21 years
11.14	Verbal/Physical abuse reporting form	Health & Safety at Act 1974	21 years
11.15	COSSH documentation, procedures and safety data sheets	Health & Safety at Work Act 1974	Indefinitely
11.16	Health suite induction records	Health & Safety at Work Act 1974	7 years
11.17	Fitness room equipment inspection checklist	Health & Safety at Work Act 1974	2 years
11.18	Catering temperature Checklists for Fridges/freezers	Health & Safety at Work Act 1974	1 year
11.19	Catering product temperature checklists	Health & Safety at Work Act 1974	1 year
11.20	Catering product delivery checklist	Health & Safety at Work Act 1974	1 year
11.21	Outdoor play area safety checklists	Health & Safety at Work Act 1974	2 years
11.22	Safety audit reports	Health & Safety at Work Act 1974	Indefinitely
11.23	Contractor vetting information	N/A	1 year
11.24	First Aid Checklists	Health & Safety at Work Act 1974	1 year
11.25	Vending machine reconciliation forms	N/A	7 years
11.26	Lost property books	N/A	2 years
11.27	Visitors Contractors signing in books	N/A	Indefinitely
11.28	Fire Alarm checklists	Health & Safety at Work Act 1974	Indefinitely

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<u>Ref No</u>	<u>Function Description</u>	<u>Examples of Records (Authority)</u>	<u>Retention Periods</u>
<u>11.30</u>	<u>Building Electrical test certificates</u>	<u>Health & Safety at Work Act 1974</u>	<u>Indefinitely</u>
<u>11.31</u>	<u>Portable appliance test inventory</u>	<u>Health & Safety at Work Act 1974</u>	<u>Indefinitely</u>
<u>11.32</u>	<u>Building equipment furniture inventory</u>	<u>N/A</u>	<u>Indefinitely</u>
<u>11.33</u>	<u>Institute of Qualified lifeguards / The Royal Lifesaving Society</u>	<u>Lifeguard certificates</u>	<u>7 years</u>

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1.1.1	Summary certification of those eligible to vote Voting Local elections only	Electoral Register Ballot papers	15 years 6 months from close of poll (Statutory)
1.2	Electoral Registration has a separate policy. This should be referred to for retention of documents relating the Electoral Register, election results and ballot papers. Election Results		

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1.2.1	Declaration of results (Local Government elections only) Declaration of results (European Parliamentary elections only)	Consolidated returns of votes received Consolidated returns of votes received	6 months from date of election (Statutory) 12 months from date of election (Statutory)

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1.3.4	Members Allowances	Travel and subsistence claim forms	Current year + 6.

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1.4.2	Minute taking. – I am not aware that there is a requirement for this – I would rather not have it set in stone	Draft/Rough Minutes	Destroy after date of confirmation of the minutes.

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