

A meeting of the **CORPORATE GOVERNANCE PANEL** will be held in **THE COUNCIL CHAMBER, PATHFINDER HOUSE, ST MARYS STREET, HUNTINGDON** on **WEDNESDAY, 14 DECEMBER 2005** at **6:00 PM** and you are requested to attend for the transaction of the following business:-

**Contact
(01480)**

APOLOGIES

1. MINUTES (Pages 1 - 2)

To approve as a correct record the Minutes of the meeting of the Panel held on 29th September 2005.

**A Roberts
388009**

2. CALCULATION OF COUNCIL TAX BASE 2006/07 (Pages 3 - 6)

To consider a report by the Head of Revenue Services recommending the Council Tax Base for 2006/2007.

**J Barber
388105**

3. CORPORATE POLICY ON DOCUMENT RETENTION AND RECORDS MANAGEMENT (Pages 7 - 54)

To consider a report by the Head of Information Management recommending guidelines for the adoption of a Corporate Policy.

**D Horrex
388179**

4. INTERNAL AUDIT SERVICE - INTERIM REPORT 2005/06 (Pages 55 - 62)

To consider a report by the Audit Manager reviewing progress towards achievement of the 2005/6 annual audit plans and associated performance and management issues.

**D Harwood
388115**

5. WHISTLE BLOWING: ANNUAL REVIEW OF POLICY & PROCEDURE (Pages 63 - 64)

To note the outcome of the annual review.

**D Harwood
388115**

6. REVIEW OF THE ANTI-FRAUD AND CORRUPTION STRATEGY (Pages 65 - 70)

To consider the outcome of the review of the anti fraud and corruption strategy.

**D Harwood
388115**

7. EXCLUSION OF PRESS AND PUBLIC

that the public be excluded from the meeting because the business to be transacted contains exempt information relating to a recipient of a

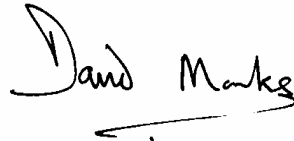
service provided by the authority and details of the financial affairs of a particular person.

8. LOCAL GOVERNMENT OMBUDSMAN - LOCAL SETTLEMENT OF COMPLAINT (Pages 71 - 72)

To note action taken by the Director of Central Services in response to a complaint referred to the Council by the Local Government Ombudsman.

L Jablonska
388004

Dated this 6th day of December 2005



Chief Executive

Notes

1. *A personal interest exists where a decision on a matter would affect to a greater extent than other people in the District –*
 - (a) *the well-being, financial position, employment or business of the Councillor, a partner, relatives or close friends;*
 - (b) *a body employing those persons, any firm in which they are a partner and any company of which they are directors;*
 - (c) *any corporate body in which those persons have a beneficial interest in a class of securities exceeding the nominal value of £5,000; or*
 - (d) *the Councillor's registerable financial and other interests.*
2. *A personal interest becomes a prejudicial interest where a member of the public (who has knowledge of the circumstances) would reasonably regard the Member's personal interest as being so significant that it is likely to prejudice the Councillor's judgement of the public interest.*

Please contact A Roberts, Democratic Services Officer, Tel No 01480 388009/e-mail: Anthony.Roberts@huntsdc.gov.uk if you have a general query on any Agenda Item, wish to tender your apologies for absence from the meeting, or would like information on any decision taken by the Panel.

Specific enquiries with regard to items on the Agenda should be directed towards the Contact Officer.

Members of the public are welcome to attend this meeting as observers except during consideration of confidential or exempt items of business.

If you would like a translation of Agenda/Minutes/Reports or would like a large text version or an audio version please contact the Democratic Services Manager and we will try to accommodate your needs.

Emergency Procedure

In the event of the fire alarm being sounded and on the instruction of the Meeting Administrator, all attendees are requested to vacate the building via the closest emergency exit and to make their way to the base of the flagpole in the car park at the front of Pathfinder House.

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HUNTINGDONSHIRE DISTRICT COUNCIL

MINUTES of the meeting of the CORPORATE GOVERNANCE PANEL held in THE KESTREL ROOM, HINCHINGBROOKE VISITOR CENTRE, HINCHINGBROOKE PARK, HUNTINGDON on Thursday, 29th September 2005.

PRESENT: Councillor C J Stephens – Chairman.
Councillors I C Bates, P J Downes,
L M Simpson and R G Tuplin.

APOLOGIES: Apologies for absence from the meeting were submitted on behalf of Councillors T V Rogers and I P Taylor.

16. MINUTES

The Minutes of the meeting of the Panel held on 27th July 2005 were approved as a correct record and signed by the Chairman.

17. MEMBERS' INTERESTS

No declarations were received.

18. CODE OF CORPORATE GOVERNANCE

With the assistance of a report by the Director of Central Services and Monitoring Officer (a copy of which is appended in the Minute Book) the Panel was acquainted with the outcome of a review of the Council's Code of Corporate Governance. Having noted the main areas in which changes had been made and on the understanding that in future the code's dimensions should incorporate, where appropriate, indicative completion dates for achieving compliance, it was

RESOLVED

that the Code of Corporate Governance appended to the report now submitted be adopted.

19. ANNUAL STATEMENT OF ASSURANCE ON CORPORATE GOVERNANCE

Having considered a report by the Director of Central Services and Monitoring Officer (a copy of which is appended in the Minute Book) to which was attached the Statement of Assurance, summarising the Corporate Governance work carried out in 2004/05 and identifying matters to be addressed during 2005/06, it was

RESOLVED

(a) that the Statement of Assurance on Corporate

- Governance for 2004/05 be approved; and
(b) that the Chairman of the Panel and the Chief Executive be authorised to sign the Statement on behalf of the Council.

20. REVIEW OF OVERVIEW AND SCRUTINY

Consideration was given to a report by the Head of Administration (a copy of which is appended in the Minute Book) containing the findings of a review by the Overview and Scrutiny Panels of the way Overview and Scrutiny was carried out. Members' attention was drawn to proposed changes to the structure and composition of the Panels and to the contents of an action plan for the future development of the Overview and Scrutiny function.

Members discussed the terms of reference for the Panels suggested under the new structure, the potential difficulties associated with achieving political balance for the suggested Corporate and Strategic Framework Panel and the date on which any new arrangements should be introduced. With regard to the latter, the view was expressed that it would be preferable for the changes to come into effect at the start of the next Municipal Year. In addition, the Panel requested that the proposals be circulated to all Members prior to the report being submitted to the Council in December. Whereupon, it was

RESOLVED

that the Council be recommended to

- (a) establish a Corporate and Strategic Framework Overview and Scrutiny Panel, to be balanced politically as far as is practical with the terms of reference set out in the report now submitted; and
- (b) appoint an additional three Members to each of the Service Delivery and Service Support Panels and to approve the consequential amendments to the Constitution to implement the aforementioned measures.

Chairman

**MANAGEMENT TEAM
CORPORATE GOVERNANCE PANEL**

**29 NOVEMBER 2005
14 DECEMBER 2005**

CALCULATION OF COUNCIL TAX BASE 2006/2007 (Report by the Head of Revenue Services)

1 INTRODUCTION

- 1.1** The Local Government Finance Act 1992 requires a Billing Authority (Huntingdonshire District Council) to calculate and approve a tax base for Council Tax purposes by 31 January in respect of the following financial year. The Local Authorities (Calculation of Tax Base) Regulations 1992 (as amended) contain the rules for making the necessary calculations.
- 1.2** The tax base calculation is designed to convert all existing properties and those due for completion before the end of the period into a Band D Equivalent. This is achieved by applying a prescribed weighting to the properties in each of the respective valuation bands.
- 1.3** The resulting figure, after taking into account relevant allowances, is called the Net Tax Base. Once agreed, this figure is divided into the Council's Net Expenditure due to be raised from Council Tax and the actual Council Tax Charge for a Band D property is then derived.

2 GENERAL PRINCIPLES OF THE CALCULATION

- 2.1** A tax base calculation for the whole of the District Council's area has been undertaken, using information held as at 21 November 2005. Added to this information are details of new properties likely to be completed and banded for Council Tax purposes during the period November 2005 to March 2007. Estimates have been made regarding the possible level of occupation of these new properties and the likely discounts that they may attract, and in particular it assumes that the discount awarded to both "second homes" and "long term empty properties" will be at the minimum level (i.e. 10% and 0% respectively). The resulting calculation shows a Band D equivalent tax base of 57,370 properties.
- 2.2** When undertaking a tax base calculation, the resulting figure has to be reduced by a percentage which, in the District Council's opinion, represents the likely losses on collection during the financial year. A provision of 0.75% is required. When applying this 0.75% reduction to this calculation, a net tax base figure of 56,939 is achieved.
- 2.3** This compares with the current tax base of 56,718 and the growth is therefore 0.39%.
- 2.4** The legislation requires that the actual Tax Base Calculation is undertaken as at the 30 November. A revised calculation will have to

be undertaken on that date and, if necessary, an amended report will be tabled at the Meeting.

3 RECOMMENDATIONS

3.1 It is recommended that the Corporate Governance Panel resolves as follows:-

- (a) that the report by the Head of Revenue Services regarding the calculation of the District Council's tax base for the year 2006/2007 be approved; and
- (b) that pursuant to the Head of Revenue Services' report and in accordance with the Local Authorities (Calculation of Tax Base) Regulations 1992 (as amended), the amounts calculated by the Huntingdonshire District Council as their net tax base for the whole District for the year 2006/2007 be 56,939 and shall be as listed below for each Parish of the District.

Abbotsley	188
Abbots Ripton	133
Alconbury	552
Alconbury Weston	275
Alwalton	125
Barham & Woolley	28
Bluntisham	718
Brampton	1782
Brington & Molesworth	112
Broughton	86
Buckden	1150
Buckworth	49
Bury	588
Bythorn & Keyston	139
Catworth	134
Chesterton	59
Colne	323
Conington	73
Covington	39
Denton & Caldecote	24
Diddington	31
Earith	577
Easton	76
Ellington	243
Elton	277
Eynesbury Hardwicke	728
Farcet	542
Fenstanton	1190
Folksworth & Washingley	350
Glatton	130
Godmanchester	2241
Grafham	233
Great & Little Gidding	127
Great Gransden	447
Great Paxton	371
Great Staughton	309
Haddon	19

Hail Weston	239
Hamerton	40
Hemingford Abbots	322
Hemingford Grey	1159
Hilton	426
Holme	239
Holywell-cum-Needingworth	970
Houghton & Wyton	1154
Huntingdon	6661
Kings Ripton	73
Kimbolton & Stonely	588
Leighton Bromswold	81
Little Paxton	1120
Morborne	12
Offord Cluny	195
Offord d'Arcy	296
Old Hurst	97
Old Weston	87
Perry	267
Pidley-cum-Fenton	148
Ramsey	2855
St Ives	5587
St Neots	9008
St Neots Rural	29
Sawtry	1738
Sibson-cum-Stibbington	202
Somersham	1353
Southoe & Midloe	152
Spaldwick	223
Steeple Gidding	11
Stilton	782
Stow Longa	60
Tetworth	19
The Stukeleys	658
Tilbrook	107
Toseland	37
Upton & Coppingford	89
Upwood & The Raveleys	406
Warboys	1365
Waresley	129
Water Newton	42
Winwick	41
Wistow	216
Woodhurst	155
Woodwalton	83
Yaxley	2809
Yelling	141
	<u>56939</u>

Contact Officer: Julia Barber - Head of Revenue Services
☎ 01480-388105

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CORPORATE GOVERNANCE PANEL

14TH DECEMBER 2005

Corporate Policy on Document Retention and Records Management (Report by Head of Information Management Division)

1 Introduction

- 1.1 The first Annual Statement of Assurance on Corporate Governance approved by the Council's Corporate Governance Panel in 2004 requested that the Council has a Corporate Policy on Document Retention and Records Management.
- 1.2 A Corporate Policy on Document Retention and Records Management supports HDC staff in the areas of records retention and records management. The effective management of records in all formats depends as much on their efficient disposal as well as their long-term preservation. HDC recognise that its records are an important public asset, they are a key resource to both effective operation and accountability.
- 1.3 The objectives of this policy are to:
 - identify records which may be worth preserving permanently
 - prevent the premature destruction of records
 - provide consistency for the destruction of non permanent records
- 1.4 A draft policy was sent to all HDC departments to make comments and amendments, attached is the first issue of the Corporate Policy on Document Retention and Records Management which has been approved by all departments.
- 1.5 Additional records identified by CRIMP (Corporate Records and Information Management Project) will be included in subsequent issues of these guidelines.
- 1.6 This corporate policy has been approved by Chief Officer's Management Team on 29th November.

2 Recommendations

Corporate Governance Panel to approve the Corporate Policy on Document Retention and Records Management.

Contact Officer: Dan Horrex – Information Manager
☎ 01480 388179

Attached:

Corporate Policy on Document Retention and Records Management

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Huntingdonshire District Council

Corporate Policy on Document Retention and Records Management

Any printed copy of this document is only valid on the day it was printed. Beyond that date please refer to the original held on the Council's intranet to ensure that you are working from the latest version.

Revision History

Date of this revision: 23/11/2005

Date of next revision:

Revision date	Previous revision date	Summary of Changes	Changes marked
23/11/2005		First issue	

**Author: D Horrex –
Information Manager**

Prepared by: DHorrex
Filepath:

Page 1 of 46

Date: 23/11/05
Version: 1

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DistrictCouncilCorporatePolicyonDocumentRetentionandRecordsManage

1. Introduction

- 1.1 Huntingdonshire District Council recognises that its records are an important public asset, and are a key resource to effective operation and to accountability. Like any asset, they require careful management and this policy sets out the Council's responsibilities and activities in regard to the management/retention of its records.
- 1.2 The effective management of records in all formats depends as much on their efficient disposal as well as their long-term preservation. Records disposal policies are essential for effective records management. As a local authority we must be consistent in the way we handle and dispose of our information. These guidelines will assist the Council in meeting local needs whilst providing a consistent approach to record keeping across Government.
- 1.3 In providing services to the public, if we 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), then it will be hard to sustain public trust in our services.
- 1.4 These guidelines are also extremely important in the context of Freedom of Information and Data Protection Act compliance. The public 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.
- 1.5 These guidelines have evolved through two stages:
 - a) The Records Management Society of Great Britain for local authorities draft retention guidance.
 - b) Additional input from Huntingdonshire District Council officers.
- 1.6 Unless otherwise stated the retention periods refer to financial years.

2. Scope of the Guidelines

- 2.1 The guidelines have been issued to support HDC staff in the areas of records management, records retention, Data Protection Act, Freedom of Information Act and the Local Government Act.
- 2.2 They are intended to cover all records and information from creation through to either their destruction or retention for historical or research purposes.
- 2.3 Backup copies on alternative media (e.g. server, microfilm or paper) should be destroyed, in accordance with these guidelines. This is to ensure compliance with Data Protection and Freedom of Information Act legislation requirements.

3. Objectives of the Retention Guidelines

3.1 The objectives of these guidelines are to:

- a) Assist in identifying records that may be worth preserving permanently.
- b) Prevent the premature destruction of records that need to be retained for a specified period to satisfy legal, financial and other requirements of public administration.
- c) Provide consistency for the destruction of records not required permanently after specified periods.
- d) Improve records management practices within the authority.

4. Transfer of Records to Archival Storage

4.1 Records identified as 'permanent' should be marked 'Archive'.

4.2 If you wish to transfer permanent records to an archive please contact the Information Manager.

5. Litigation

5.1 Where litigation is possible, the records and information that might be required should not be amended or disposed of until the possibility of litigation has been removed.

6. Destruction of Records

6.1 A register of destroyed records will be maintained. Enough detail will be recorded to identify which records have been destroyed. It is not sufficient to indicate that a quantity of records have been destroyed on a certain date. Enough details should be retained to identify which records have been destroyed. The Information Manager will have overall responsibility for the register of destroyed records.

6.2 Records should be destroyed using the appropriate method, either shredding for paper or deletion for electronic records.

6.3 Documents held on the Electronic Document Management System and main back office systems are currently subject to national discussion to enable archiving of data and records.

6.4 For records not covered by the guidelines contact the Information Manager for further advice.

7. Standard Operating Procedure (SOP)

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.

- 7.2 SOP usually applies to information that is duplicated, unimportant or only of short-term facilitative value. Unimportant records or information include:
- a) 'with compliments' slips
 - b) catalogues and trade journals
 - c) telephone message slips
 - d) non-acceptance of invitations
 - e) requests for stock information such as maps, plans or advertising material
 - f) out-of-date distribution lists
 - g) duplicate copies (see para: 7.3)
- 7.3 Duplicated and superseded material such as stationery, manuals, drafts, forms, address books and reference copies of annual reports may be destroyed as being unimportant.
- 7.4 Electronic copies of documents where a hard copy has been printed and filed, are included as unimportant.
- 7.5 This does not apply to records or information that could be used as evidence (para 5.1 refers). If you are in doubt about what information might be required then consult the legal section.

8. Reviewing the Schedule

- 8.1 These guidelines prescribe minimum and permanent retention periods. The guidance will be reviewed at regular intervals. Additional records will be identified for inclusion within these guidelines through the Corporate Records and Information Management Project (CRIMP).

9. Format of Records (electronic, paper, microfiche)

- 9.1 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 record retention guidelines are relevant to records which are electronic, paper or records which have been transferred to another format such as microfiche.

10. Terminology

10.1 Responsible Officer

10.1.1 Activity Managers will be responsible for ensuring the retention guidelines remain up-to-date and the register of destroyed records is completed for their area of responsibility. If the Activity Manager wishes to delegate responsibility for these guidelines to another member of the department they should inform the Information Manager. Each department will identify this officer (or these officers) and publicise their identify to their staff. Staff will contact this officer if they have any concerns or queries about the guidance.

10.2 CY

10.2.1 Current (financial) year.

10.3 P/M

10.3.1 Prime or Management documentation - Prime documents must always be backed up and retained for statutory Internal Audit/External Audit reasons.

10.3.2 A prime document is one which, if lost or destroyed, would cause considerable embarrassment to the Authority.
Examples include:

- Original documents with signatures
- Legal authorisations

10.3.3 Duplicates are not prime documents.

10.3.4 Management documents should, in general, be kept for the current year plus two financial years.

10.4 Closure

10.4.1 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

10.5 Closure period

10.5.1 A 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.

10.6 Common Practice

10.6.1 Standard practice followed by Local Authorities.

10.7 Last action

10.7.1 Date of most recent amendment / addition / deletion of information.

10.8 Permanent

10.8.1 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 must be transferred to a suitable archive or place of deposit. When setting up an archive please consult the Information Manager.

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SECTION 1 – PERSONNEL			
FUNCTION DESCRIPTION	RETENTION PERIOD	LIST OF HDC EXAMPLES	AUTHORITY & NOTES
PERSONNEL ADMINISTRATION			
1.1	Permanent.	Employment Register/s for Permanent, Temporary and/or Casual staff. (On payroll system)	Common Practice
1.1.1	Summary management systems that allow the monitoring & management of employees in summary form. Note. The summary information that this record class attempts to capture is as follows: Name, Date of Birth, Date of Appointment, Work History Details, Position/Designation, Titles & Dates Held	Transfer to Place of Deposit after administrative use is concluded.	
1.1.2	The process of employing staff and administration to ensure that entitlements and obligations are in accordance with agreed employment requirements.	Destroy 6 years from date of termination of employment	Common Practice
1.1.3	Personnel file	Warnings Pension Record	Common Practice
1.1.4	All other records		Common Practice
1.2 EMPLOYEE/INDUSTRIAL RELATIONS	RETENTION PERIOD	LIST OF HDC EXAMPLES	AUTHORITY & NOTES
1.2.1	Permanent. Transfer to Place of Deposit after administrative use is concluded.	Generic agreements and awards Negotiations Disputes Claims Lodged	Common Practice
1.2.2	Destroy 6 years after administrative use is concluded.	Daily Industrial Relations Management.	Common Practice
1.2.3	Kept on personnel file, destroyed 6 years after the termination of employment.	Disciplinary Grievance	Common Practice

1.2.4	Processing of disciplinary and grievance investigations where unfounded.	Destroy after the grievance has been unfounded (i.e. after the process, including appeals, has been completed).	Disciplinary Grievance	Common Practice
1.3	EQUAL EMPLOYMENT	RETENTION PERIOD	LIST OF HDC EXAMPLES	AUTHORITY & NOTES
1.3.1	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
1.4	OCCUPATIONAL HEALTH	RETENTION PERIOD	LIST OF HDC EXAMPLES	AUTHORITY & NOTES
1.4.1	The process of checking and ensuring the health of staff.	Destroy 50 years after last action.	Health Questionnaire Medical Clearance Adjustment to Work Place Restrictions Recommendations	Common Practice. Health & Safety Legislation.
1.5	RECRUITMENT	RETENTION PERIOD	LIST OF HDC EXAMPLES	AUTHORITY & NOTES
1.5.1	The successful selection of an individual for an established position.	Kept on Personnel File, destroy after 6 years of termination of contract. Examples of Interview questions kept on file permanently. See "Personal Administration" for letter of appointment for successful candidates.	Advertisements Applications Referee Reports Interview Reports	Common Practice
1.5.2	Unsuccessful Job Applications Criminal Records Bureau (CRB) Disclosure	Destroy after 6 months. For successful applicants, CRB destroyed after 1 week from receipt of disclosure (clear disclosure).	(Note: CRB Disclosures should never be kept on personnel files, and should be kept separately)	Section 124 of Police Act 1997. Common Practice
1.6	STAFF MONITORING	RETENTION PERIOD	LIST OF HDC EXAMPLES	AUTHORITY & NOTES
1.6.1	Performance Appraisal	Retained permanently whilst member of staff is employed, destroyed after termination of employment.	Probation Reports Performance Plans	Common Practice

1.6.2	Process of monitoring staff leave and attendance.	Destroy 2 years after action completed. Monitored by each division.	Sick Leave Jury Service Study Leave Special and Personal Leave Bereavement Leave Attendance Books Flexitime Sheets Leave Applications	Common Practice
1.7	STAFF RETENTION	RETENTION PERIOD	LIST OF HDC EXAMPLES	AUTHORITY & NOTES
1.7.1	Financial Reward	Destroy 7 years after action completed.		Common Practice Actual payment records are under finance.
1.8	TERMINATION	RETENTION PERIOD	LIST OF HDC EXAMPLES	AUTHORITY & NOTES
1.8.1	The process of termination of employment through resignation, voluntary redundancy, dismissal and retirement.	Destroy 6 years after termination of employment.	Resignation Redundancy (section 188) Dismissal Retirement Death	Common Practice
1.9	TRAINING DEVELOPMENT	RETENTION PERIOD	LIST OF HDC EXAMPLES	AUTHORITY & NOTES
1.9.1	Routine staff training processes, not occupational health and safety or children related.	Permanent. Transfer to Place of Deposit after administrative use is concluded.	Course Individual Staff Assessment.	Common Practice
1.9.2	Training (occupational health and safety training).	Permanent.	OH & S Training Register	Common Practice
1.9.3	Individual course assessment records Training (proof of completion)	Transfer to Place of Deposit after administrative use is concluded. Retained on personnel file see 1.1.3	Certificates Awards Exam Results	Common Practice

1.10	STATUTORY OFFICER APPOINTMENT	RETENTION PERIOD	LIST OF HDC EXAMPLES	AUTHORITY & NOTES
1.10.1	Summary management systems that allow the monitoring & management of statutory officers in summary form.	Permanent. Recorded in Council minutes.	Statutory Officers as of August 03 Head of Paid Service Monitoring Officer Chief Finance Officer	Common Practice
1.10.2	The process of administering employees to ensure that entitlements & obligations are in accordance with agreed employment requirements.	Personnel file see 1.1.3		Common Practice
1.10.3	The appointment of an individual for a statutory position.	Permanent. Transfer to Place of Deposit after administrative use is concluded.	Appointment Files	Common Practice
1.10.4	The process of selection of an individual for a statutory position.	Destroy 2 years after date of appointment. Permanent record in Council minutes	Vacancies & Applications Records Interview Notes Prospective Staff Records Registers of Applicants Unsuccessful Applications Records.	Common Practice

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SECTION 2 – DEMOCRATIC PROCESS			
FUNCTION DESCRIPTION	RETENTION PERIOD	LIST OF HDC EXAMPLES	AUTHORITY & NOTES
2.1 ELECTIONS			
PREPARATIONS FOR ELECTIONS			
2.1.1	Summary certification of those eligible to vote	Permanent. Archive after administrative use is concluded.	Electoral Register
2.1.2	Voting	Destroy 6 months from close of poll.	Ballot Papers
RESULTS OF ELECTIONS			
2.1.3	Declaration of Results (Local Government elections)	Destroy 6 months from date of election.	Consolidated returns of votes received.
2.1.4	Declaration of Results European Parliamentary elections)	Destroy 12 months from date of election.	Consolidated returns of votes received.
MEMBER DECLARATIONS			
2.1.5	Members Acceptance of Office	Permanent.	Bound register
2.1.6	Members Declarations 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.	Common Practice
2.2 COUNCIL & COMMITTEE MEETINGS			
2.2.1	The process of preparing business for Council consideration and making the record of discussion, debate and resolutions.	Permanent. Transfer to Place of Deposit after administrative use is concluded.	Minute Books and Indexes.
2.2.2	Minute taking.	Destroy after date of confirmation of the minutes.	Draft/Rough Minutes
2.2.3	Agenda and non confidential reports considered by each Council, Cabinet, Committee and Panel meetings	CY + 5 years	Common Practice
			Schedule 12a Local Government Act – Access to Information.

2.3	PARTNERSHIP & AGENCY MEETINGS	RETENTION PERIOD	LIST OF HDC EXAMPLES	AUTHORITY & NOTES
2.3.1	The process of 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>	Permanent. Transfer to Place of Deposit after administrative use is concluded.	Minutes and Index.	Common Practice
2.3.2	The process of 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>	Destroy 1 year after last action.	Documents establishing the Committee Agendas Minutes Reports Recommendations Supporting documents such as Briefing and Discussion Papers.	Common Practice
2.4	POLITICAL PARTIES' PAPERS	RETENTION PERIOD	LIST OF HDC EXAMPLES	AUTHORITY & NOTES
2.4.1	The process of undertaking representation of the local authority.	CY + 3 years.	Leader's filing system Leader's records Party Political group filing system and leader's records.	

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SECTION 3 – CORPORATE MANAGEMENT				
3.1	FUNCTION DESCRIPTION MANAGEMENT & ADMINISTRATION	RETENTION PERIOD	LIST OF HDC EXAMPLES	AUTHORITY & NOTES
Corporate Planning and Reporting				
3.1.1	The corporate planning and reporting activities of Local Authorities.	Permanent. Transfer to Place of Deposit after administrative use is concluded.	Corporate Plans Strategy Plans Business Plans Annual Reports	Common Practice
3.1.2	The process of preparing business for strategic consideration and making the record of discussion, debate and resolutions.	Permanent. Transfer to Place of Deposit after administrative use is concluded.	Management Team Minutes. Draft management team minutes destroyed after minutes have been agreed.	Common Practice
3.1.3	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
3.1.4	The process of preparing business for Business Unit consideration and making the record of discussion, debate and resolutions.	Destroy 3 years from closure.		Common Practice
Statutory Returns				
3.1.5	The process of preparing information to be passed on to central government as part of statutory requirements.	Destroy 7 years from closure.		Common Practice

3.2	POLICY, PROCEDURE & STRATEGY	RETENTION PERIOD	LIST OF HDC EXAMPLES	AUTHORITY & NOTES
3.2.1	Activities that develop policies, procedures, strategies and structures for Local Government.	Permanent. Transfer to Place of Deposit after administrative use is concluded.	Policy, Procedure, Precedent, Instructions. Organisational Charts Records relating to Policy Implementation and Development Asset Management Plan Community Strategy Community Plan Community Safety Plan	Common Practice
3.2.2	The process of monitoring and reviewing strategic plans, policies or procedure to assess their compliance with guidelines.	Destroy 5 years from closure.		Common Practice
3.2.3	The management of detailed responses on Council actions, policy or procedure.	Destroy 6 years after administrative use is concluded.	Reports Returns Correspondence Ombudsman	Common Practice
3.2.4	The management of routine responses on Council actions, policy or procedure.	Destroy 2 years after administrative use is concluded.	Printed Material Form Letters	Common Practice
Public Consultation				
3.2.5	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
3.2.6	The process of consulting the public and staff development of minor policies of the local authority.	Destroy 1 year from closure		Common Practice
3.3	QUALITY & PERFORMANCE	RETENTION PERIOD	LIST OF HDC EXAMPLES	AUTHORITY & NOTES
3.3.1	The process of monitoring or reviewing the quality, efficiency or performance of a local authority service or unit.	Destroy 5 years from closure.	Best Value Review Comprehensive Performance Assessment	Common Practice
3.3.2	The process of assessing the quality, efficiency or performance of a local authority service or unit.	Destroy 2 years from closure.	Assessment Form	Common Practice

3.4	ENQUIRIES & COMPLAINTS	RETENTION PERIOD	LIST OF HDC EXAMPLES	AUTHORITY & NOTES
Enquiries and Complaints				
3.4.1	The management in summary form of enquiries and complaints directed to council.	Permanent. Transfer to Place of Deposit after administrative use is concluded.	Indexes Registers	Common Practice
3.4.2	The management of enquiries submission and complaints, which result in significant changes to policy or procedure.	Permanent. Transfer to Place of Deposit after administrative use is concluded.	Reports Returns Correspondence	Common Practice
3.5	PUBLIC RELATIONS	RETENTION PERIOD	LIST OF HDC EXAMPLES	AUTHORITY & NOTES
Publications				
3.5.1	The process of designing setting information for publication.	Destroy 3 years from last action.		Common Practice
3.5.2	The published work of the local authority.	Destroy after administrative use is concluded. <u>Note</u> One initial print copy to go directly to the archive.		Common Practice
Media Relations				
3.5.3	Process of interaction with the media.	Destroy 3 years from closure.		Common Practice
3.5.4	Media publications concerning Local Authorities.	Permanent. Transfer to Place of Deposit after administrative use is concluded.	Press Cuttings Media Reports	Common Practice
3.6	PROMOTIONS	RETENTION PERIOD	LIST OF HDC EXAMPLES	AUTHORITY & NOTES
3.6.1	The process of developing and promotion of Local Authority campaigns and events.	Permanent. Transfer to Place of Deposit after administrative use is concluded.		Common Practice
Civil and Royal Events				
3.6.2	The recording of ceremonial events and civic occasions.	Permanent. Transfer to Place of Deposit after administrative use is concluded.	Visitors Book Audio Tapes Video Tapes Photographs Newspaper Clippings	Common Practice
3.6.3	The process of organising a ceremonial event or civic occasions.	Destroy 7 years after administrative use is concluded.		Common Practice.

SECTION 4 – LEGAL & CONTRACTS				
FUNCTION DESCRIPTION		RETENTION PERIOD	LIST OF HDC EXAMPLES	AUTHORITY & NOTES
4.1 CASE FILES – ALL CASES				
4.1.1	Working files and papers except as shown in sections 4.2 to 4.6 below.	Destroy paper copies 3 years after matter closed. Retain electronic copies for period identified by Head of Legal & Estates	Section 106 agreements, TPO's, Leases, licences and general matters.	Head of HDC Legal & Estates
4.2 LITIGATION				
4.2.1	The process of managing, undertaking or defending for or against litigation on behalf of the local authority.	Destroy background papers 3 years after case concluded or closed. Destroy Court File documents 7 years after case concluded or closed. Major litigation – offer to Head of Legal & Estates for review.	Correspondence Criminal case file Civil case file Pleadings Orders	Head of HDC Legal & Estates
Advice				
4.2.2	The process of providing legal advice on a point of law.	Destroy paper copy after 3 years Destroy electronic copy 3 years after last action unless a major precedent - then offer to Head of Legal & Estates for review.		Head of HDC Legal & Estates
Agreements				
4.2.3	Process of agreeing terms between organisations. Note. This does not include contractual agreements.	Destroy paper copy of agreement 1 year after agreement expires or is terminated. Destroy electronic version 6 years after agreement expires or is terminated.	Concordant. Depends on value of agreement. Mainly to do with agreements between public bodies. Not in regards contracts.	Head of HDC Legal & Estates.

Conveyance				Head of HDC Legal & Estates
4.2.4	Deeds of Title	Permanent		Head of Administration
4.2.5	The process of transferring land ownership.	Destroy 12 years after closure.	Land charges	
4.3	CONTRACTS & TENDERING	RETENTION PERIOD	LIST OF HDC EXAMPLES	AUTHORITY & NOTES
Pre Contract Advice				
4.3.1	The process of calling for expressions of interest.	Destroy 1 year after contract let or not proceeded with.	Expressions of Interest	Head of HDC Legal & Estates/Relevant Head of Service
Specification and Contract Development				
4.3.2	The process involved in the development and specification of a contract.	<u>Ordinary Contracts – Paper copy</u> Destroy 6 years after the terms of contract have expired. <u>Contracts Under Seal – Paper copy</u> Destroy 12 years after the terms of contract have expired. <u>Electronic Copies of both types</u> Retain for 12 years	Tender specification Not: For project files containing drafts leading to a final version these records can be destroyed.	Statutory Head of HDC Legal & Estates
Tender Issuing and Return				
4.3.3	The process involved in the issuing and receipt of a tender.	Destroy 1 year after start of contract. Note: Normally there is no electronic version.	Opening notice Tender envelope	Head of HDC Legal & Estates/Relevant Head of Service

4.4	EVALUATION OF TENDER	RETENTION PERIOD	LIST OF HDC EXAMPLES	AUTHORITY & NOTES
4.4.1	Summary tender evaluation criteria	<u>Ordinary Contracts – Paper copy</u> Destroy 6 years after the terms of contract have expired. <u>Contracts Under Seal – paper copy</u> Destroy 12 years after the terms of contract have expired. <u>Electronic Copies of both types</u> Retain for 12 years	Evaluation of criteria	Statutory Head of HDC Legal & Estates
4.4.2	Successful tender document	<u>Ordinary Contracts – Paper copy</u> Destroy 6 years after the terms of contract have expired. <u>Contracts Under Seal – Paper copy</u> Destroy 12 years after the terms of contract have expired. <u>Electronic Copies of both types</u> Retain for 12 years	Tender documents Quotations	Statutory Head of HDC Legal & Estates
4.4.3	Unsuccessful tender documents	Destroy 2 years after start of contract.	Tender documents Quotations	Head of HDC Legal & Estates
Post Tender Negotiation				
4.4.4	The process in negotiation of a contract after a preferred tender is selected.	Destroy 1 year after the terms of contract have expired.	Clarification of contract Post tender negotiation minutes	Head of HDC Legal & Estates
4.5 AWARDING OF CONTRACTS				
4.5.1	The process of awarding a contract	<u>Ordinary Contracts – Paper copy</u> Destroy 6 years after the terms of contract have expired. <u>Contracts Under Seal – Paper copy</u> Destroy 12 years after the terms of contract have expired. <u>Electronic Copies of both types</u> Retain for 12 years	LIST OF HDC EXAMPLES Signed Contract	AUTHORITY & NOTES Statutory Head of HDC Legal & Estates

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Contract Management				
4.5.2	Contract operation and monitoring	<p>Destroy paper copies 3 years after the terms of contract have expired.</p> <p>Destroy electronic copies 3 years after the terms of contract have expired.</p> <p><u>Ordinary Contracts – Paper copy</u> Destroy 6 years after the terms of contract have expired.</p> <p><u>Contracts Under Seal – Paper copy</u> Destroy 12 years after the terms of contract have expired.</p> <p><u>Electronic Copies of both types</u> Retain for 12 years</p>	<p>Service Level Agreements Compliance Reports Performance Reports</p> <p>Minutes and papers of meetings Changes to requirements Variation forms Extension of contract Complaints Disputes on payment</p>	<p>Head of HDC Legal & Estates. If there is any dispute at termination, re: performance, consult H of LS.</p> <p>Statutory Head of HDC Legal & Estates.</p>
4.5.3	Management and amendment of contract.			
4.6	STOCK/PURCHASING	RETENTION PERIOD	LIST OF HDC EXAMPLES	AUTHORITY & NOTES
4.6.1	Stock records / purchase record cards.	Destroy 3 years after the date of last entry		

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SECTION 5 – FINANCIAL RECORDS			
FUNCTION DESCRIPTION	RETENTION PERIOD	AUTHORITY & NOTES	P/M
5.1 ACCOUNTANCY			
5.1.1 Print Requisitions	CY + 1 year	Audit	M
5.1.2 Various supporting working papers	CY + 4 years	Audit	M
5.1.3 Budget working papers	CY + 2 years	Audit	M
5.1.4 Statement of accounts	CY + 6 years	Corporate	P
5.1.5 Take up reports (Reports on changeover from previous computer system to current)	4 years	Corporate	P
5.2 ASSETS RECORDS	RETENTION PERIOD	AUTHORITY & NOTES	P/M
5.2.1 Leaseholder files	6 years after ceasing to be a leaseholder	Statute. Limitation Act 1980	P
5.2.2 Right to Buy sales files	12 years after completion of sale	Statute. Limitation Act 1980	P
5.2.3 Repairs and consultation files	Permanent.	Statute. Limitation Act 1980	P
5.2.4 Inventory	To be kept updated	Corporate	M
5.3 BUDGETS	RETENTION PERIOD	AUTHORITY & NOTES	P/M
5.3.1 Budget Working papers	CY + 3 years	Corporate	M
5.3.2 Revenue estimates	CY + 3 years	Corporate	M
5.3.3 Budget variations	CY + 3 years	Corporate	M
5.4 CASHIERS OFFICE	RETENTION PERIOD	AUTHORITY & NOTES	P/M
5.4.1 Receipts Stubs – Council Tax	CY + 2 years	Audit	M
5.4.2 Receipt Stubs – others	CY + 6 years	Audit	M
5.4.3 Daily cash reconciliation sheets	CY + 2 years	Audit, electronic	M
5.4.4 Cash receipting print-outs (from mainframe system)	CY + 2 years	Audit, electronic	M
5.4.5 Cashiers paying-in sheets	CY + 2 years	Audit	M
5.4.6 Cashiers paying-in sheets summary	CY + 2 years	Audit	M
5.4.7 Bank paying-book	CY + 2 years	Audit	M
5.4.8 Collection & Deposit [C&D] Book	CY + 6 years	Audit, electronic	P
5.4.9 Original copies of bank statements	CY + 6 years	Audit. Limitation Act 1980.	P
5.4.10 Cash register rolls [audit rolls]	CY + 6 years	Audit, electronic	P
5.4.11 Petty cash vouchers	CY + 6 years	Audit	P

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5.4.12	Post-dated cheques register	CY + 2 years	Audit	M
5.5	GENERAL INCOME RECORDS	RETENTION PERIOD	AUTHORITY & NOTES	P/M
5.5.1	Completed receipt books	CY + 6 years	Audit. Limitation Act 1980.	P
5.5.2	Completed bank paying-in book	CY + 1 year	Statutory. Limitation Act 1980 and Audit	P
5.5.3	Cash register till rolls	CY + 6 years	Audit, electronic	M
5.5.4	Primary debtors records and supporting documents. Copies of supporting documentation	CY + 6 years	Statute. Limitation Act 1980	P
5.5.5	Bank statements	CY + 2 years CY + 6 years	Corporate/VAT.	M
5.6	GENERAL PAYMENT RECORDS	RETENTION PERIOD	AUTHORITY & NOTES	P/M
5.6.1	List of authorised signatures	6 years after person ceases to be a signatory or the list is superseded	Other users should also retain listings for the period specified.	P
5.6.2	Official orders	CY + 6 years	Audit.	M
5.6.3	Bank reconciliation	CY + 2 years	Audit	M
5.7	INSURANCE	RETENTION PERIOD	AUTHORITY & NOTES	P/M
5.7.1	Insurance policies	Permanent	Corporate	P
5.7.2	Accident reports and related correspondence	CY + 6 years	Statute. Limitation Act 1980.	P
5.7.3	Incident reports and related correspondence	CY + 6 years CY + 15 years for negligence not involving personal injuries	Statutory. Limitation Act 1980 Latent Damage Act 1986	P
5.7.4	Claims Register	CY + 6 years	Corporate	P
5.7.5	Claims files	7 years from claim settlement or 6 years from 18 th birthday whichever is later.	Statutory. Limitation Act 1980 Workman's Compensation Act	P
5.7.6	Property files	6 years after disposal of property	Statutory. Limitation Act 1980	P
5.7.7	List of property insures	CY + 6 years	Corporate	P
5.7.8	Engineering schedules	CY + 6 years	Corporate	P
5.7.9	Settlement of claims	CY + 6 years	Corporate	P
5.7.10	Employers Liability Certificates	CY + 40 years	Employers Liability (Compulsory Insurance) Regulations 1998	P
5.8	INVESTMENTS	RETENTION PERIOD	AUTHORITY & NOTES	P/M
5.8.1	Contract notes	CY + 6 years	Statutory, Limitation Act 1980	P

5.8.2	List of holdings/history of holdings	CY + 2 years	Corporate	P
5.8.3	Register of holdings (previous system)	CY + 2 years	Corporate	P
5.8.4	Fund Manager's quarterly report	CY + 4 years	Corporate	P
5.9	LOANS/GRANTS	RETENTION PERIOD	AUTHORITY & NOTES	P/M
5.9.1	Registers of bonds/mortgages	Review after 50 years	Corporate	P
5.9.2	Temporary Loans register	12 years after loan repaid	Statutory. Limitation Act 1980	P
5.9.3	Other Grants	CY + 6 years	Audit	P
5.9.4	Grant Enquiries	Destroy if case file has been inactive for 2 years	Corporate	P
5.9.5	Disabled Facilities Grants	Below £25K grant – destroy 5 years after completion of work. Above £25K grant – retain for 7 years after the loan has been repaid or house has been sold.	Corporate	P
5.9.6	Rent Deposit/ Rent in advance	Destroy if case file has been inactive for 2 years	Corporate	P
5.9.7	Local Authority Social Housing Grant	Destroy 2 years following completion of scheme. If file listed in a cabinet report it needs to be kept for 6 years.	Corporate	P
5.9.8	Repairs Assistance Grants	Retain until loan is repaid	Corporate	
5.10	PAYMENT OF ACCOUNTS	RETENTION PERIOD	AUTHORITY & NOTES	P/M
5.10.1	Original invoices, original batch control slips	CY + 6 years	Statutory. Limitation Act 1980. 1970 Tax Management Act.	P
5.10.2	Imprest accounts	CY + 6 years	Audit	P
5.10.3	Imprest register (list of Imprest holders and balances held)	Until superseded	Audit	P
5.10.4	Contracts register	Review every 25 years	Audit	P
5.10.5	VAT receipts/invoices (original)	CY + 6 years	Statutory. 1970 Tax Management Act. Custom and Excise Notice 700	P
5.10.6	Information collected from Housing Benefit and Council Tax Benefit in respect of claims.	CY + 6 years	Statutory. Social Security (Claims and Information) (Housing Benefit and Council Tax Benefit) Regulations 2002. SI 2002 No 1132. Limitation Act 1980	P

5.11	REVENUE COLLECTION	RETENTION PERIOD	AUTHORITY & NOTES	
5.11.1	Council Tax Forms	CY + 2 years	Corporate	M
5.11.2	Fraud Files	CY + 6 years	Corporate	M
5.11.3	Batch Control Record	CY + 6 years	Corporate	M
5.11.4	Reconciliation's	CY + 6 years	Corporate	M
5.11.5	Payment Records	CY + 6 years	Corporate	M
5.11.6	Prime Documents	CY + 6 years	Corporate	P
5.11.7	Valuation and Bandings	2 years after list closed (by government) for alterations	Corporate	M
5.12	PAYROLL RECORDS (Staff and Members)	RETENTION PERIOD	AUTHORITY & NOTES	P/M
5.12.1	Timesheets	CY + 6 years	Audit	M
5.12.2	Car allowances claims	CY + 6 years	Statutory, 1970 Taxes Management Act. 1988 Income and Corporation Taxes Act.	M
5.12.3	Bonus sheets	CY + 6 years	Statutory, 1970 Taxes Management Act. 1988 Income and Corporation Taxes Act.	M
5.12.4	Staff returns	CY + 6 years	Audit	M
5.12.5	Personal bank details	Refers to personnel file (1.1.3)	Corporate. If employment ceases then 1.1.3 will apply.	M
5.12.6	Overtime	CY + 6 years	Statutory, 1970 Taxes Management Act. 1988 Income and Corporation Taxes Act.	M
5.12.7	Absence return	CY + 6 years	Corporate	M
5.12.8	Sickness records, Payroll Maternity payment	CY + 6 years	Corporate	M
5.12.9	Income tax form P60	CY + 6 years	Statutory - Minimum requirement as stated in Inland Revenue Booklet 490. Employees should retain records for 22 months after current tax year	P
5.12.10	Tax forms P6/P45/P48/P11/P11D/P35	CY + 6 years	Statutory. Minimum requirement as stated in Inland Revenue Booklet 490. Employees should retain records for 22 months after current tax year.	P
5.12.11	National Insurance schedule of payments	CY + 6 years	Statutory, 1970 Taxes Management Act. 1988 Income and Corporate Taxes Act.	P
5.12.12	Superannuation adjustments	CY + 6 years	Statutory, 1970 Taxes Management Act 1988. Income and Corporate Taxes Act.	P

5.12.13	Superannuation reports	CY + 6 years		Statutory. 1970 Taxes Management Act. 1988 Income and Corporate Taxes Act.	P
5.12.14	Car Loans	CY + 6 years or for as long as the person is employed by LA.		Statutory. 1970 Taxes Management Act. 1988 Income and Corporate Taxes Act.	P
5.12.15	Insurance	CY + 6 years		Statutory. 1970 Taxes Management Act. 1988 Income and Corporate Taxes Act.	P
5.12.16	Payroll reports	CY + 6 years		Statutory. 1970 Taxes Management Act. 1988 Income and Corporate Taxes Act.	P
5.12.17	Pension payroll	CY + 6 years		Statutory. 1970 Taxes Management Act. 1988 Income and Corporate Taxes Act.	P
5.12.18	Copy payslips	CY + 6 years		Statutory. 1970 Taxes Management Act. 1988 Income and Corporate Taxes Act.	P
5.12.19	Gross/net weekly pay roll	CY + 6 years		Statutory. 1970 Taxes Management Act. 1988 Income and Corporate Taxes Act.	P
5.12.20	Gross/net monthly pay roll	CY + 6 years		Statutory. 1970 Taxes Management Act. 1988 Income and Corporate Taxes Act.	P
5.12.21	Car mileage output	CY + 6 years		Statutory. 1970 Taxes Management Act. 1988 Income and Corporate Taxes Act.	P
5.12.22	National Insurance Schedule of Payments	CY + 6 years		Statutory. 1970 Taxes Management Act. 1988 Income and Corporate Taxes Act.	P
5.12.23	Payroll Awards	CY + 6 years		Audit	P
5.12.24	Part time fee claims	CY + 6 years		Statutory. 1970 Taxes Management Act. 1988 Income and Corporate Taxes Act.	P
5.13	SUNDRY DEBTORS	RETENTION PERIOD		AUTHORITY & NOTES	P/M
5.13.1	Financial Assessment forms (cases not proceeded with)	CY + 2 years		Audit	M
5.13.2	Cemeteries and allotments. Copy multi-part forms.	CY + 2 years		Audit	M
5.13.3	Rechargeable works and land charges – copy multipart forms	CY + 2 years		Audit	M
5.13.4	Copy invoice from various departments	CY + 2 years		Audit	M
5.13.5	Former tenants arrears and accounts	6 years from cessation of tenancy		Statutory. Limitation Act 1980	P

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5.14	BENEFITS	RETENTION PERIOD	AUTHORITY & NOTES	P/M
5.14.1	Benefit claim forms	CY + 6 years		P
5.14.2	Associated benefit documents	CY + 6 years		P
5.14.3	Reconciliation records	CY + 6 years		P
5.14.4	Other prime documents	CY + 6 years		P
5.14.5	SX3 claim data	CY + 6 years		M
5.14.6	HB subsidy claim form	CY + 6 years		
5.14.7	DWP Statistical Returns	CY + 6 years		
5.15	BENEFIT FRAUD	RETENTION PERIOD	AUTHORITY & NOTES	P/M
5.15.1	Referrals (recorded non fraud) including attached documentation	18 months		P
5.15.2	Fraud files closed (not established)	2 years		P
5.15.3	Fraud files closed (fraud established no sanction)	3 years		P
5.15.4	Fraud files with sanction applied	5 years		P
5.15.5	Prosecution files	5 years		P
5.15.6	NFI list	Dependant on file results but list held until last fraud file destroyed		M
5.15.7	Interview under caution tapes	Dependant on file but destroyed at same time as fraud file		P
5.15.8	QB50 notebooks	5 years from date of last entry		M
5.15.9	Surveillance – applications, authorisations and cancellations	5 years		P
5.15.10	Surveillance logs	Dependant on file but destroyed at same time as fraud file		M
5.16	REMOTE ACCESS TERMINAL DATA	RETENTION PERIOD	AUTHORITY & NOTES	P/M
5.16.1	LA1 authorisations	Indefinitely - unless superseded then 18 months		P
5.16.2	LA9 – requests, LA10, Test Checks, LA11 discrepancies, LA14 user details	18 months		P
5.16.3	LA15 Training completed	Indefinitely - unless superseded then 18 months		P
5.17	COMPUTER RECORDS FRAUD	RETENTION PERIOD	AUTHORITY & NOTES	P/M
5.17.1	Fraud files closed (not established)	2 years		P

5.17.2	Fraud files closed (fraud established no sanction)	3 years		P
5.17.3	Fraud files with sanction applied	5 years		P
5.17.4	Prosecution files	5 years		P
5.17.5	Referrals (recorded non fraud) including attached documentation	18 months		P
5.17.6	Referrals recorded file raised	3 years		P
5.17.7	Sanctions/Prosecutions recorded	3 years		P
5.17.8	Computer Records Fraud word documents	Length of active investigation, sanction, prosecution		M

SECTION 6 – INFORMATION MANAGEMENT				
FUNCTION DESCRIPTION		RETENTION PERIOD	LIST OF HDC EXAMPLES	AUTHORITY & NOTES
6.1	INFORMATION MANAGEMENT			
6.1.1	The activity whereby standards, authorities, restraints and verifications are introduced and maintained to manage information effectively.	Permanent. Transfer to Place of Deposit after administrative use is concluded.	Classification Schemes Registers Indexes Authorised Lists of File Headings	Common Practice
6.1.2	The management of collections of records transferred to the archives.	Permanent. Transfer to Place of Deposit after administrative use is concluded.		Common Practice
6.1.3	Emails which are held in the corporate email archiving system.	4 years		Common

SECTION 7 – ENVIRONMENTAL HEALTH & OPERATIONS			
FUNCTION DESCRIPTION		RETENTION PERIOD	AUTHORITY & NOTES
7.1	ACCIDENT RECORDS		P/M
7.1.1	RIDDOR F2508 F208A	7 years after last action. (If incident happens to a person under the age of 18, records retained until they turn 18 + 7 years after last action.)	Statutory. Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 SI1995 No 3163 Regulations 4/5
7.1.2	Records of minor incidents in the local community – enforcement, certification, prosecution etc.	Destroy 7 years after closure of all active cases linked to premises.	Copy notices, copy certificates. Common Practice
7.2	ENVIRONMENTAL PROTECTION	RETENTION PERIOD	AUTHORITY & NOTES
7.2.1	Public register of information (IPC)	Permanent. Information from third parties	Statutory. Environmental Protection (Applications, Appeals and Registers) Regulations 1991 SI 1991 No 667 Regulations 4 and 7
7.2.2	Bye-laws (Water related)	6 years after bye-law ceases	Statutory. Water Industries Act 1991 Chapter 56 Section 157
7.2.3	Declaration of adoption of a sewer	The lifetime of the sewer	Statutory. Water Industries Act 1991 Chapter 56 Section 102
7.3	PUBLIC HEALTH	RETENTION PERIOD	AUTHORITY & NOTES
7.3.1	Exclusion notice (food handlers)	6 years from date of notification	Statutory. Public Health (Control of Disease) Act 1984. Chapter 22 Section 23
7.3.2	Cooling towers register Notification to local authority of 'notifiable' devices (HSE approved form)	When decommissioned, a cooling tower is removed from the register after 1 year	Statutory. Notification of Cooling Towers and Evaporative Condensers Regulations 1992 SI 1992 No 2225 Regulation 3
7.4	LITIGATION	RETENTION PERIOD	AUTHORITY & NOTES
7.4.1	Managing, undertaking or defending for or against litigation on behalf of the Local Authority	Destroy 7 years after last action	Prosecution file, civil case file, related correspondence. Common Practice

7.5	LICENCES	RETENTION PERIOD	AUTHORITY & NOTES	P/M
7.5.1	Administration of application, registration, certificated and licences	Destroy 2 years after registration or entitlement lapses	Certificates and related correspondence, Zoo licences, DWA licences, etc. Common Practice	P
7.6	INSPECTIONS	RETENTION PERIOD	AUTHORITY & NOTES	P/M
7.6.1	Process of investigation, monitoring or inspection as duty of Local Authority	Destroy 7 years from last action	HASW inspection, Food inspection records, Nuisance investigation, Accident investigation. Common Practice	P

SECTION 8 – GENERAL PUBLIC SERVICE				
FUNCTION DESCRIPTION		RETENTION PERIOD	LIST OF HDC EXAMPLES	AUTHORITY & NOTES
8.1	EMERGENCY PLANNING			
8.1.1	Process to develop the emergency/ disaster plan for the local community.	Permanent. Transfer to Place of Deposit after superseded.	Major Incident Plan	
8.1.2	Process to test the emergency/ disaster plan for the local community.	Destroy 10 years after closure		
8.1.3	Written plan detailing how major accidents will be dealt with	For duration of the activity with updating for significant changes	Statutory. The Control of Major Accident Hazards Regulations 1999. SI 1999 No 743.	P
8.2	MAJOR INCIDENT			
8.2.1	Activities that report on all major incidents in the local community. Whether the emergency plan has been invoked or not.	Permanent. Transfer to Place of Deposit after administrative use is concluded.		
8.2.2	Activities that report on all minor incidents in the local community.	Destroy 7 years after closure		

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SECTION 9 – HEALTH & SAFETY AND OPERATIONS				
FUNCTION DESCRIPTION		RETENTION PERIOD	LIST OF HDC EXAMPLES	AUTHORITY & NOTES
9.1	ACCIDENT RECORDS			
9.1.1	Accident forms/reports	Permanent	Corporate. Includes associated papers	P
9.1.2	Accident books BI 510	3 years after last entry	Statutory. Social Security (Claims and Payments) Regulations 1979 Regulation 25. Social Security Administration Act 1992 Section 8.	P
9.2	COMPRESSED AIR RECORDS	RETENTION PERIOD	AUTHORITY & NOTES	P/M
9.2.1	Notification to HSE, likely receiving hospitals, emergency services etc	Until work completed	Statutory. Work in Compressed Air Regulations 1996 SI 1996 No: 1656. Regulation 6 Notification	M
9.2.2	Plant and equipment examinations and tests	Current year + 6 years	Statutory. Work in Compressed Air Regulations 1996 SI 1996 No 1656 Regulation 8	P
9.2.3	Health Records	40 years from date of last entry	Statutory. Work in Compressed Air Regulations 1996 SI 1996 No 1656 Reg. 10. Employee to receive copy of entries relating to period of work.	P
9.2.4	Record of exposure times and pressures	40 years from date of last entry	Statutory. Work in Compressed Air Reg. 1996 SI 1996 No 1656 Reg. 11(4). Employee to receive copy of entries relating to period of work	P
9.2.5	Individual record of exposure	40 years from date of last entry	Statutory. Work in Compressed Air Regulations 1996 SI 1996 No 1656 Reg. 11(5)	P
9.3	HEALTH RECORDS	RETENTION PERIOD	AUTHORITY & NOTES	P/M
9.3.1	Health screening records	40 years	Statutory. Various regulations.	P

9.3.2	COSHH health surveillance records	40 years from date of last incident	Statutory. Control of Substances Hazardous to Health Regulations 1999 SI 1999 No: 437 Reg. 11. Records kept under the 1994 Regulations to be kept as if the 1999 Regulations had not been made. Reg. 18. COSHH Regs 2002	P
9.3.3	Noise assessment records	Until a further assessment is made but consider adding to health records	Statutory. Noise at Work Regulations 1989 Regulation 5: Assessments Record	M
9.3.4	Record of any monitoring carried out to comply with COSHH	5 years or 40 years for personal experience of identifiable individuals	Statutory. Control of Substances Hazardous to Health Regulations 1999 SI 1999 No 437	P
9.4	INSPECTIONS/EXAMINATIONS	RETENTION PERIOD	AUTHORITY & NOTES	P/M
9.4.1	Safety inspections/audits	CY + 3 years	Corporate	M
9.4.2	Lifting Operations Thorough examinations	For as long as equipment is operated	Statutory. The Lifting Operations and Lifting Equipment Regulations 1998 SI 1998 No 2307 Reg. 9. Current report to accompany equipment if sold on.	M
9.4.3	Lifting Operations Thorough examinations and inspection (other than an accessory)	For as long as the equipment is operated	Statutory. The Lifting Operations and Lifting Equipment Regulations 1998 SI 1998 No 2307 Regulation 11	P
9.4.4	Lifting Operations Thorough examinations and inspection (accessory for lifting)	2 years from date of report	Statutory. The Lifting Operations and Lifting Equipment Regulations 1998 SI 1998 No 2307 Regulation 11	M

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9.4.5	Lifting Operations Through examination and inspection (Installation or after assembly at new site/location)	For as long as the equipment is operated	Statutory. The Lifting Operations and Lifting Equipment Regulations 1998 SI 1998 No 2307 Regulation 11	M
9.4.6	Lifting Operations Thorough examinations and inspection (6/12 monthly inspections under Reg. 9)	Until superseded or the expiration of 2 years whichever is later	Statutory. The Lifting Operations and Lifting Equipment Regulations 1998 SI 1998 No 2307 Regulation 11	M
9.4.7	Lifting Operations Records made under regulation 10(2)	Until superseded	Statutory. The Lifting Operations and Lifting Equipment Regulations 1998 SI 1998 No 2307 Regulation 11	M
9.4.8	Written statement by owner of mobile system	Until superseded	Statutory. The Pressure Systems Safety Regulations 2000. SI2000 SI2000 No 128 Regulation 7	P
9.4.9	Scheme of examination	Until superseded	Statutory. The Pressure Systems Safety Regulations 2000. SI2000 No 128 Regulation 8	P
9.4.10	Fire alarm/emergency lighting	Retain last two certificates	Corporate	M
9.4.11	Building installations	Retain last two certificates	Corporate	M
9.4.12	Other statutory inspections/tests	CY + 10 years	Corporate	M
9.4.13	Working platforms and personal suspension equipment. Excavations and cofferdams etc. Reports and Inspections	3 months after work is completed	Statutory. Construction (Health, Safety and Welfare) Regulations 1996 SI1996 No 1592 Regulations 29, 30 and Schedule 7	M
9.5	LOG BOOKS	RETENTION PERIOD	AUTHORITY & NOTES	P/M
9.5.1	Fire precaution log book	6 years after last entry	Corporate	M
9.5.2	Machine maintenance log books	Life of equipment	Statutory. Provision and Use of Work Equipment regulations 1998 SI 1998 No 2306 Regulation 5	M

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9.6	POLICIES	RETENTION PERIOD	AUTHORITY & NOTES	P/M
9.6.1	Written statement of employers general policy for the health and safety at work of employees	Until superseded	Statutory. Health and Safety at Work etc. Act 1974 Section 2 (3): Written Statement of general policy for employee health and safety at work.	M
9.6.2.	The organisation and arrangements for carrying out the policy at 9.6.1	Until superseded	Statutory. Health and Safety at Work etc. Act 1974 Section 2(3): Written Statement of general policy for employees health and safety at work	M
9.6.3.	Written rules regulating the wearing of suitable head protection on a construction site	For the duration of the work on the site	Statutory. Construction (Head Protection) Regulations 1989 SI 1989 No 2209 Regulation 5: Rules and Directions	M
9.6.4	Record of health and safety arrangements	Until arrangements are changed	Statutory. Management of Health and Safety at Work Regulations 1992 Regulation 4: Health and Safety	M
9.6.5	Notice stating the composition of the Safety Committee and the workplaces covered by it	For the life of the Committee	Statutory. Management of Health and Safety Committee Regulations 1977 Regulation 9	M
9.7	SAFE SYSTEMS OF WORK	RETENTION PERIOD	AUTHORITY & NOTES	P/M
9.7.1	Written report about the industrial activity	Until superseded. Review 5 yearly.	Statutory. Control of Major Accident Hazard regulations 1999 SI 1999 No: 743 Reg.7.	P
9.7.2	Safe systems of work	Until superseded	Corporate	M
9.7.3	Safe system of work certificates	6 months after completion of work	Corporate	M
9.8	TRAINING	RETENTION PERIOD	AUTHORITY & NOTES	P/M
9.8.1	H&S records of training	Until termination of contract + 6 years	Corporate	M
9.8.2	Food hygiene courses for business	CY + 3 years	Corporate	M

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9.9	ASBESTOS RECORDS	RETENTION PERIOD	AUTHORITY & NOTES	P/M
9.9.1	Record or suitable summary of air monitoring of employees exposure to asbestos where appropriate	5 years from date of monitoring or 40 years if health record required	Statutory. Control of Asbestos at Work Regulations 1987 SI 1876 No 2115 Regulation 15.	P
9.9.2	Health records for each employee where exposure to asbestos exceeds the action level (must be retained by the employer)	CY + 40 years from date of last exposure.	Statutory. Control of Asbestos at Work Regulations 1987 SI 1987 No 2115 Regulation 16(1)	P
9.9.3	Certificate of health examination which must be retained and a copy must be given to the employee	40 years from date of issue	Statutory. Control of Asbestos at Work Regulations 1987 SI 1987 No 2115 Reg. 16(3) The Control of Asbestos at Work (Amendment) Regulations 1998 SI 1988 3235 Reg. (4)	P
9.10	RISK ASSESSMENTS	RETENTION PERIOD	AUTHORITY & NOTES	P/M
9.10.1	Risk assessments	Until superseded but review every 3 years if no change	Statutory. Management of Health and Safety at Work regulations 1992 Regulation 3: Risk Assessment.	M
9.11	WASTE	RETENTION PERIOD	AUTHORITY & NOTES	P/M
9.11.1	Waste transfer notes	CY + 2 years	Statutory. Environmental Protection (Duty of Care) Regulations 1991 (SI 2839). Note: The waste management contractor must retain notes for 6 years under landfill tax legislation.	P

SECTION 10 – PROPERTY & BUILDING RECORDS			
FUNCTION DESCRIPTION		RETENTION PERIOD	AUTHORITY & NOTES
10.1 AGREEMENTS/ARRANGEMENTS			P/M
10.1.1	Written record of the agreements between contractors	For the duration of the agreement	Statutory. Construction (Health and Welfare) Regulations 1996. SI 1996 No: 1592.
10.2 ASBESTOS RECORDS		RETENTION PERIOD	AUTHORITY & NOTES
10.2.1	Asbestos Register	Permanent	Statutory. Control of Asbestos at Work Regulations 1987 SI 1987 No 2115. The Control of Asbestos at Work (Amendment) Regulation 1998 SI 1998 No: 323. 2002 regs
10.2.2	Asbestos Surveys (both visual and intrusive)	Permanent	Statutory. Control of Asbestos at Work Regulations 1987 SI 1987 No 2115. The Control of Asbestos at Work (Amendment) Regulations 1998 SI 1998 No: 323
10.2.3	Asbestos Management	Permanent	Statutory. Control of Asbestos at Work Regulations 1987 SI 1987 No 2115. The Control of Asbestos at Work (Amendment) Regulations 1998 SI 1998 No: 323
10.3 CONSTRUCTION		RETENTION PERIOD	AUTHORITY & NOTES
10.3.1	Notification of construction project. Use of Form 10 (Rev) not compulsory (To be in writing and displayed on site (Regulation 16))	Life of job and then destroy	Statutory. Construction (Design and Management) Regulations 1994 SI 1994 No 3140 Regulation 7
10.3.2	Departmental Job Files (contain project file)	Permanent	Liability for design up to 12 years from when the defect has been found.
10.3.3	Contract documents (drawing specification)	12 years under deed	

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10.4	ASSETS RECORDS	RETENTION PERIOD	AUTHORITY & NOTES	P/M
10.4.1	Asset registers	To be kept updated	Corporate	M
10.4.2	Estate management files	CY + 6 years	Corporate	P

SECTION 11 – PLANNING AND LAND USE				
FUNCTION DESCRIPTION		RETENTION PERIOD	LIST OF HDC EXAMPLES	AUTHORITY & NOTES
11.1	PLANNING POLICY & IMPLEMENTATION			
11.1.1	Production of planning policy documents	Permanent.	Local Plan Supplementary Planning Guidance	Common Practice / legislation
11.1.2	The activity of consultation to gain approval for planning policy documents	Permanent or disposal after “x” years.	Consultation documents and replies Inquiries and objections made by members of the public Public Inquiry documents	Common Practice
11.1.3	The activity of recording information on historical buildings, TPOs, and conservation matters	Permanent.	Historically listed buildings Footpath diversion records TPOs and applications	Common Practice / legislation.
11.2	PLANNING AND BUILDING REGULATION	RETENTION PERIOD	LIST OF HDC EXAMPLES	AUTHORITY & NOTES
11.2.1	The process of controlling development through applications for planning permission.	Permanent.	Planning application files and plans Correspondence relating to any objections Appeal papers Planning application register	Legislation
11.2.2	Development Control Enforcement procedures and records	Permanent	Planning Enforcement Files. Enforcement register	
11.2.3	Planning Registers	Permanent.	Indices, register sheets and applications.	

11.2.4	The process of issuing Building Regulation decisions.	Destroy 15yrs after the date of the decision notice	Building Files Plans Specifications Correspondence Applications Decision Notices Certificates	
11.2.5	The process of inspecting building work for the purpose of compliance with the building regulations.	Destroy 15 years after the date a completion certificate is issued.	Completion certificate Building Inspection records Diaries	Common Practice
11.2.6	The process of enforcing building regulations.	Destroy 15 years after compliance with contravention notice.	Contravention notices	Common practice
11.3	INFRASTRUCTURE MANAGEMENT AND MAINTENANCE	RETENTION PERIOD	LIST OF HDC EXAMPLES	AUTHORITY & NOTES
11.3.1	The activity of providing municipal services in relation to Infrastructure within the local authority.	Destroy 7 years after last action	Street files Street records Requests for: Hedge clipping, tree planting, naming of streets, numbering of houses, street load limits, street signs, bus shelters, applications to dig footpaths, HGV application, Advice/Comment, Level crossings, Right of ways, Roundtables, Traffic humps.	Common Practice
11.4	MAINTENANCE	RETENTION PERIOD	LIST OF HDC EXAMPLES	AUTHORITY & NOTES
11.4.1	The activity of maintaining and repairing roads, streets, bridges, bridle paths, rights of way and tunnels.	Destroy 7 years after action completed		Common Practice

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SECTION 12 – HOUSING (All of these items are also found in other sections)			
FUNCTION DESCRIPTION	RETENTION PERIOD	LIST OF HDC EXAMPLES	AUTHORITY & NOTES
12.1 TENANCY AGREEMENTS			
12.1.1 The process of awarding tenancies in council housing See 4.5.1.	<u>Ordinary Tenancy – Paper copy</u> Destroy 6 years after the terms of agreement have expired. <u>Tenancy Under Seal – Paper copy</u> Destroy 12 years after the terms of agreements have expired. <u>Electronic Copies of both types</u> Retain for 12 years	Signed tenancy agreements Sealed tenancy agreements	Statutory Head of HDC Legal & Estates.
12.2 REGISTER	RETENTION PERIOD	LIST OF HDC EXAMPLES	AUTHORITY & NOTES
12.2.1 Housing Register Applicant Files	CY + 2 years after case is closed.		Common Practice
12.3 STORES	RETENTION PERIOD	LIST OF HDC EXAMPLES	AUTHORITY & NOTES
12.3.1 Stores Requisitions	CY + 4 years		Audit.
12.4 TEMPORARY ACCOMMODATION AND HOMELESSNESS	RETENTION PERIOD	LIST OF HDC EXAMPLES	AUTHORITY & NOTES
12.4.1 Temporary Accommodation	Destroy after CY+1 year after customer's account has cleared.		Common Practice
12.4.2 Removals/Storage/Kennelling	Destroy after CY+1 year after customer's account has cleared.		Common Practice
12.4.3 Homelessness Case File	CY + 2 years after case is closed.		Common Practice
12.5 ASSET RECORDS	RETENTION PERIOD	LIST OF HDC EXAMPLES	AUTHORITY & NOTES
12.5.1 Estate management files - See 10.4.2			
12.5.2 Leaseholder files - See 5.2.1			
12.5.3 Right to Buy sales files - See 5.2.2			
12.5.4 Repairs and consultation files - See 5.2.3			
12.6 GENERAL PAYMENT RECORDS	RETENTION PERIOD	LIST OF HDC EXAMPLES	AUTHORITY & NOTES
12.6.1 Requisitions for supplies/works	CY + 2 years		Audit.

12.7	INSURANCE	RETENTION PERIOD	LIST OF HDC EXAMPLES	AUTHORITY & NOTES
12.7.1	Right to buy property insurance	1 year after expiry of cover		Corporate
12.7.2	Right to buy. Computer list of sum insured (history)	CY + 6 years		Corporate.
12.7.3	Property files	Permanent due to subsidence and negligence claims		Statutory. Limitation Act 1980.
12.7.4	Computer list of property insured	CY + 6 years		Corporate.
12.7.5	Engineering schedules	CY + 6 years		Corporate.
12.7.6	Deceased persons effects register	50 years from last entry		Corporate.
12.8	ASBESTOS RECORDS	RETENTION PERIOD		AUTHORITY & NOTES
12.8.1	Asbestos plan of work	Until work is complete. Consider linking with Occupational Health files.		Statutory. Control of Asbestos at Work Regulations 1987 SI 1987 No 2115. The Control of Asbestos at Work (Amendment) Regulation 1998 SI 1998 3235 Regulation 5. Control of Asbestos at Work Regulations 2002
12.8.2	Maintenance of control measures	CY + 5 years		Statutory. Control of Asbestos at Work Regulations 1987 SI 1987 No 2115. Regulation 10.
12.8.3	Record or suitable summary of air monitoring of employees exposure to asbestos where appropriate - See 9.9.1	5 years from date of monitoring or 40 years if health record required		Statutory. Control of Asbestos at Work Regulations 1987 SI 1876 No 2115 Regulation 15.
12.8.4	Health records for each employee where exposure to asbestos exceeds the action level (must be key by the employer) - See 9.9.2	CY + 40 years from date of last exposure		Statutory. Control of Asbestos at Work Regulations 1987 SI 1987 No 2115 Regulation 16(1). As above 2002.

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12.8.5	Certificate of health examination which must be retained and a copy must be given to the employee - See 9.9.3	4 years from date of issue	Statutory. Control of Asbestos at Work Regulations 1987 SI 1987 No 2115 Reg. 16(3). The Control of Asbestos at Work (Amendment) Regulations 1998 SI 1988 3235 Reg. (4).
12.9	MEDIA (HOUSING CASE FILES)	RETENTION PERIOD	AUTHORITY & NOTES
12.9.1	Process of interaction with the media.	Held on case file until termination of case.	Common Practice

SECTION 13 – INTERNAL AUDIT

FUNCTION DESCRIPTION		RETENTION PERIOD	LIST OF HDC EXAMPLES	AUTHORITY & NOTES
13.1	INTERNAL AUDIT			
13.1.1	Audit reports (including interim & draft) that are concerned with the examination of long term contracts	CY + 6 years		P
13.1.2	Audit reports and supporting papers compiled during a fraud investigation	6 years after legal or disciplinary proceedings have been completed.		P
13.1.3	Other audit reports (including drafts)	CY + 3 years	Internal audit records shall be classed as those records that have been created solely for the purpose of an internal audit review and shall include: Reports Terms of reference Programmes/plans Correspondence, including emails, letters, advice & consultancy Minutes of meetings etc Working papers.	P
13.1.4	Audit management programmes, plans and strategies	One year after the last date of the plan, or from the time that they were updated.	Annual audit needs assessment. Internal audit strategy.	M
13.1.5	Audit Manual & guides relating to departmental procedures	When superseded		---
13.1.6	Annual Reports to the S151 Officer	CY + 3 years.		P

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**INTERNAL AUDIT SERVICE
INTERIM REPORT 2005/06**

(Report by the Audit Manager)

1. INTRODUCTION

- 1.1 Internal Audit is required by its terms of reference to report twice a year to the Panel. This interim report covers the period April to October 2005 and deals with progress towards the achievement of the 2005/06 annual audit plan and associated performance and management issues.

2. DELIVERY OF THE 2005/06 AUDIT PLAN

- 2.1 As at the 31 October, 24 of the 44 audits planned for 2005/06 had been completed or issued in draft. A further 9 were substantially underway. The level of assurance given for each of the reports completed or issued in draft is shown in the table at Appendix A.
- 2.2 11 audits from the 2004/05 audit plan were still underway at 31 March 2005. All have been formally closed. The Panel considered the level of assurance for these audits in July 2005.
- 2.3 The Panel should note the assurance definitions given. Full assurance is not always desirable because it may indicate excessive control where the area is relatively low risk. It should be recognised that in all systems there is a trade-off between efficiency and risk.
- 2.4 Electronic copies of all completed reports are available to Members on the Internal Audit intranet home page, via the 'Search for Audit Reports (Secure)' link.
- 2.5 Based on the work completed to date it is expected that the 2005/06 audit plan will be completed.

3. IMPLEMENTATION OF AGREED ACTIONS

- 3.1 The agreed actions arising from an audit report are entered onto a database that is published on the intranet. This allows managers to search for outstanding or partially completed actions and then update the database once an action has been completed and allows monitoring reports to be circulated to Directors every two months. It is important that these agreed actions are promptly carried out as they result from identified weaknesses in the Council's controls.
- 3.2 The database is used to select a sample, from those items which are reported as completed, so that Internal Audit staff can check if this is the case. In respect of those actions introduced up to 30 September 2005, these checks have shown that the actions taken were appropriate and addressed the risks identified in the audit report.

3.3 The percentage of agreed actions (calculated on a rolling 12 monthly basis) implemented, and even more so, those implemented on time, gives cause for concern. It is accepted that there will be occasions where service issues arise, after dates have been agreed, that properly take priority over the completion of these agreed actions but, as at 31 October, just 47% of the agreed actions had been introduced and only 26% had been introduced on time.

3.4 The position for each Directorate is shown below.

	TOTAL	Directorate		
		Central Services	Commerce & Technology	Operational Services
No. of Actions	219	73	123	23
Introduced	102	27	71	4
% age introduced	47%	37%	58%	17%
Introduced on time	58	9	46	3
%age introduced on time	26%	12%	37%	13%

Of the 219 actions, 32 are 'red'. 13 of the actions have been introduced.

4. OPINION ON THE INTERNAL CONTROL ENVIRONMENT

4.1 The opinion provided as at 30 June 2005, was that the internal control environment and systems of internal control could provide limited assurance over the effective exercise of the Council's functions.

4.2 The opinion given was primarily due to the lack of compliance with the Code of Procurement and the lack of progress in dealing with the agreed actions arising from the document retention and records management audit. Whilst I am aware that action is being taken to address the issues identified, firm evidence of improvements will be required before a higher assurance opinion can be given.

4.3 Based on the audit work completed to the 31 October 2005 and the action taken by managers to address the risks identified, it is my opinion that the level of assurance remains limited. A more formal and detailed opinion will be provided prior to the adoption of the Corporate Governance Statement for 2006/07.

5. INTERNAL AUDIT'S PERFORMANCE

- 5.1 Information in respect of the performance of the internal audit service is attached at Appendix B.

6. RECOMMENDATION

It is recommended that:

- the interim report be noted
- Directors and Heads of Service are reminded of the importance of introducing actions within the agreed timescale.

BACKGROUND INFORMATION

Internal audit reports issued during 2005/06

Audit database of actions

Audit plan 2005/06

Contact Officer: David Harwood, Audit Manager ☎ **01480 388115**

Audit Reports issued April – October 2005

Audit Area	Level of Assurance				Agreed Action Status		
	Substantial	Adequate	Limited	Little	Red	Amber	Action not agreed & the risk identified accepted
Key Financial Systems							
Council Tax		✓			1	4	
NNDR		✓				1	
Other systems reviews							
Housing Benefit Fraud	✓				---	---	
Asset Management Plan	✓				---	---	
Car Leasing	✓					2	
Leisure Centres		✓			1	12	
Grants to Outside Bodies		✓			1	5	
Disciplinary Procedures		✓				7	
Delivery of MTP Developments		✓				6	
Printing		✓				6	
Purchasing Cards <i>* currently draft, not final</i>		✓				6	
Staff Travel & Subsistence		✓				5	1
Computer Training		✓				5	
Staff Appraisal		✓				5	
CCTV <i>* currently draft, not final</i>		✓				5	
Appointment of Consultants		✓				3	
Contract Variations		✓				3	
Charging for Council Services		✓				1	
Balanced Scorecard & Performance Management <i>* currently draft, not final</i>			✓			8	
Internet Monitoring <i>* currently draft, not final</i>			✓		1	5	
Quotation Process			✓			3	
Computer Audit							
Revenue & Benefit Application Review <i>* currently draft, not final</i>	✓					5	2
Software Licences <i>* currently draft, not final</i>		✓				8	
BACSTEL Review <i>* currently draft, not final</i>		✓				7	

In addition to the audits listed above, audit reviews have also been completed in the areas of corporate governance, the procurement of fitness equipment and eye-test reimbursement.

The level of assurance is based upon the number of suggested actions proposed and the categories into which those actions fall.

Substantial Assurance

There are no weaknesses in the level of internal control for managing the material inherent risks within the system. Testing shows that controls are being applied consistently and system objectives are being achieved efficiently, effectively and economically apart from any excessive controls which are identified in the report.

Adequate Assurance

There are minor weaknesses in the level of control for managing the material inherent risks within the system. Some control failings have been identified from the systems evaluation and testing which need to be corrected. The control failings do not put at risk achievement of the system's objectives.

Limited Assurance There are weaknesses in the level of internal control for managing the material inherent risks within the system. Too many control failings have been identified from the systems evaluation and testing. These failings show that the system is clearly at risk of not being able to meet its objectives and significant improvements are required to improve the adequacy and effectiveness of control.

Little Assurance There are major, fundamental weaknesses in the level of control for managing the material inherent risks within the system. The weaknesses identified from the systems evaluation and testing are such that the system is open to substantial and significant error or abuse and is not capable of meeting its objectives.

Action status

- Red Actions that must be implemented as the current exposure to risk is unacceptably high, indicating a major control weakness
- Amber Actions that managers should consider introducing as the current risk exposure is high. Control weaknesses have been identified that have the potential to compromise internal control, operational effectiveness or service delivery.

Internal Audit Performance

1. Introduction

1.1 Internal audit have prepared a set of performance measures that link into the Council's corporate performance management system. The measures which relate to the service's performance are listed below:

- External audit view of internal audit
- % of customers rating service quality as good or better.
- % of agreed actions implemented on time
- % of service delivery targets achieved.

2. External audit view of internal audit

Target: Adequate or better
 Achieved: Good (2003/04) – 2004/05 awaited

2.1 The District Audit Service have not yet prepared their annual audit and inspection letter for 2004/05. Informal discussions with them suggest that their comments will be similar to previous years. If the letter is received prior to the meeting the comments received will be reported.

2.2 As the Panel are already aware RSM Robson Rhodes were appointed external auditor with effect from April 2005. They intend to undertake a review of internal audit when they commence reviewing the internal control environment. This review will consider the work performed on key financial systems, compliance with the minimum standards set out in the CIPFA Code of Audit Practice and a review of a sample of working paper files and audit reports. The results of this review will be reported to the Panel in due course.

3. Customer Satisfaction

Target: 85% or more of customers rating service quality as good or better.
 Achieved: 12 months to October 2005 - 83%

3.1 At the conclusion of all audits, managers are requested to complete an end of audit survey form and give an opinion on the value of the audit (its conduct, method of delivery, reporting process and validity of actions). The options available are – excellent, very good, good, fair and poor. Target information is calculated on a rolling twelve month basis rather than by financial year.





3.2 During the 12 month period ending 31 October, end of audit questionnaires had been received in respect of 36 audits. 83% of managers considered the overall value of the audit to be good or better. This is a high figure and reflects well on the performance of individual auditors. Where the opinion was less than good the reasons for the view expressed have been discussed with the manager and issues of concern addressed.

4. Introduction of agreed actions

4.1 Covered in section 3 of the main report.

5. Service delivery targets

- 5.1 There are four elements to this target which all relate to the progress of individual audits and the reporting process:
- Complete audit fieldwork by the date stated on the audit brief
 - Issue draft audit reports within 15 working days of completing fieldwork
 - Meet with customer and receive response allowing draft report to progress to final within 15 working days of issuing draft report
 - Issue final audit report within 5 working days of receiving full response
- 5.2 Performance indicators are prepared monthly in respect of each target and circulated to internal audit staff. Achievement of the targets requires internal audit staff to develop and maintain good working partnerships and the customer's co-operation throughout the period of the audit.
- 5.3 The table below shows the targets and the change in performance since April. As more and more of the 12 month rolling average relates to the current years performance it is expected that the actual performance figures will increase further.

	Target	Performance as at:	
		April 2005	October 2005
Complete audit fieldwork by the date stated on the audit brief	75%	38%	57% 
Issue draft audit reports within 15 working days of completing fieldwork	90%	87%	90% 
Meet with customer and receive response allowing draft report to progress to final within 15 working days of issuing draft report	75%	52%	73% 
Issue final audit report within 5 working days of receiving full response	90%	92%	87% 

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WHISTLEBLOWING: ANNUAL REVIEW OF THE POLICY & PROCEDURE

(Report by the Audit Manager)

1. ANNUAL REVIEW

- 1.1 The whistleblowing policy and guidance are reviewed annually to ensure they continue to be fit for purpose.
- 1.2 This year's review has been completed and no changes are necessary.
- 1.3 14 concerns have been received during the past year. Five did not relate to areas directly managed by the Council and were referred to the appropriate organisation. The other nine were fully investigated. Criminal proceedings are being considered against two members of the public for benefit fraud as a result.
- 1.4 The Panel are **recommended** to note that a review has been undertaken but that no changes are required.

BACKGROUND INFORMATION

Whistleblowing Policy & Procedure

Whistleblowing allegations received

Contact Officer: David Harwood, Audit Manager ☎ 01480 388115

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CORPORATE GOVERNANCE PANEL

14 DECEMBER 2005

**REVIEW OF THE ANTI FRAUD & CORRUPTION STRATEGY
(Report by the Audit Manager)**

1. INTRODUCTION

- 1.1 This report details the outcome of the review of the Anti-Fraud and Corruption Strategy.

2. THE STRATEGY

- 2.1 The Strategy, approved by Cabinet in January 2004, has been reviewed to ensure that it remains appropriate and reflects the Council's attitude and commitment towards the prevention of fraud, corruption and theft.
- 2.2 The only amendments required to the Strategy, attached at Appendix A, are the references in paragraph 4.1 to the Members' Planning and Licensing Codes of Good Practice and in paragraph 5.1 to the Money Laundering Avoidance Policy, approved by the Panel in July 2005

3. RECOMMENDATIONS

- 3.1 It is recommended that the amended Anti-Fraud and Corruption Strategy be approved.

BACKGROUND INFORMATION

Money Laundering Avoidance Policy

Contact Office: David Harwood, Audit Manager ☎ 01480 388115

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HUNTINGDONSHIRE DISTRICT COUNCIL Anti-Fraud and Corruption Strategy

1. Introduction

- 1.1 Huntingdonshire District Council is determined that a culture of honesty, openness and accountability will always be promoted, and as such is wholly opposed to all forms of fraud, corruption or theft. The Council is committed to making sure that the risk of fraud, corruption and theft is reduced to a level that is proportionate to the resources required to achieve that reduction. The Council also recognises that all dishonest acts undermine the high standards of public service that it is aiming to achieve.
- 1.2 This Anti-Fraud and Corruption Strategy provides details of our approach to tackling fraud, corruption and theft. It gathers together, under the heading of one overall document, all of the Authority's policies and guidance that deal with this area.

2. Anti-Fraud and Corruption Statement

- 2.1 The Council is committed to the highest possible standards of honesty, openness and accountability. The Council will not tolerate any fraud, corruption or theft by Members, employees, consultants, contractors or service users. It will ensure that internal procedures are in place to deter and prevent the risk of fraud, corruption or theft, maintain clear and well publicised arrangements for receiving and investigating complaints and pursue appropriate action in all instances where fraud, corruption and theft are found.

3 The Principles of Conduct

- 3.1 Each individual Member and employee is responsible for playing a part in ensuring that public confidence in the services provided by the Council is maintained. They will lead by example in ensuring compliance with all legal requirements, rules, procedures and practices, and conduct themselves in accordance with both the spirit and letter of their respective Codes of Conduct.

4. Reducing the risk of fraud, corruption and theft

- 4.1 The Council has a number of procedures and rules to make sure that financial, administrative and organisational procedures are properly controlled. The most important of these procedures and rules are the:
- Code of Financial Management
 - Code of Procurement
 - Code of Conduct for Members
 - Code of Conduct for Employees
 - Members' Planning Code of Good Practice
 - Members' Licensing Code of Good Practice
- 4.2 The Code of Financial Management makes it clear that Directors and Heads of Service are responsible for the prevention of fraud and corruption within the services and functions under their control. They are required to establish, maintain and document the systems of internal control and ensure that relevant employees or Members are familiar with such systems.

HUNTINGDONSHIRE DISTRICT COUNCIL Anti-Fraud and Corruption Strategy

5. **Disclosure, investigation and prosecution policies**

5.1 The Anti-Fraud and Corruption Strategy shall be supported by specific policies or procedures that deal with the issues of disclosure, investigation and prosecution. These policies and procedures are:

- The Whistle-blowing Policy
- The Whistle-blowing Guidance
- Money Laundering Avoidance Policy
- The Housing & Council Tax Benefit Anti-Fraud Strategy
- The Housing & Council Tax Benefit Prosecution Policy
- The Disciplinary Procedures

In addition to the above, detailed guidance notes have been written to assist staff who are required to undertake specific investigations.

5.2 The policies and procedures aim to ensure that the Council's commitment to the prevention of fraud, corruption and theft:

- is clearly defined
- actively encourages and promotes the prevention and detection of fraud, corruption and theft
- identifies clear reporting lines for those having knowledge or suspicion of irregularity
- establishes uniform procedures for handling allegations, ensuring consistent treatment
- ensures fair treatment for those against whom allegations are made
- encourages individuals and organisations who come into contact with the Council in the course of their business to recognise the Council's Anti-Fraud and Corruption Strategy.

5.3 Irrespective of who is involved, all matters of significant fraud and corruption identified, where its investigation is not covered by another policy or procedure, will be referred to the Police.

6. **Publicising the Strategy**

6.1 The Council will make suitable arrangements to publicise the Anti-Fraud and Corruption Strategy and supporting policies to all Members and employees.

6.2 Action will be taken to make the public and members of outside bodies aware of the Council's Anti-Fraud and Corruption Strategy.

6.3 Members and employees can obtain copies of the Codes and policies noted in this strategy from the Head of Personnel Services, the Head of Revenue Services or the Audit Manager. They are also available on the Intranet.

**HUNTINGDONSHIRE DISTRICT COUNCIL
Anti-Fraud and Corruption Strategy**

7. Conclusion

- 7.1 The Council is committed to tackling fraud, corruption and theft whenever it happens and any allegations received will be responded to in an effective and organised manner, following the principles and procedures within this document.
- 7.2 The S151 Officer and the Monitoring Officer will jointly review the Anti-Fraud and Corruption Strategy on an annual basis to ensure it remains effective. Any changes that are required to the Strategy will be reported to the Corporate Governance Panel who shall recommend to Cabinet any changes to the Strategy.

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By virtue of paragraph(s) 4, 7 of Part 1 of Schedule 12A of the Local Government Act 1972.

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