

# 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**

## **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.

## INDEX

### **Section 1 Personnel**

- 1.1 [Personnel Administration](#)
- 1.2. [Employee/Industrial Relations](#)
- 1.3. [Equal Employment](#)
- 1.4. [Occupational Health](#)
- 1.5. [Recruitment](#)
- 1.6. [Staff Monitoring](#)
- 1.7. [Staff Retention](#)
- 1.8. [Termination](#)
- 1.9. [Training Development](#)
- 1.10. [Statutory Officer Appointment](#)

### **Section 2 Democratic Services**

- 2.1. [Elections](#)
- 2.2. [Council & Committee Meetings](#)
- 2.3. [Partnership & Agency Meetings](#)
- 2.4. [Political Parties' Papers](#)

### **Section 3 Corporate Management**

- 3.1 [Management & Administration](#)
- 3.2 [Policy, Procedure & Strategy](#)
- 3.3 [Quality & Performance](#)
- 3.4 [Enquiries & Complaints](#)
- 3.5 [Public Relations](#)
- 3.6 [Promotions](#)

### **Section 4 Legal & Contracts**

- 4.1 [Case Files – All cases](#)
- 4.2 [Litigation](#)
- 4.3 [Contracts and Tendering](#)
- 4.4 [Evaluation of Tender](#)
- 4.5 [Awarding of Contracts](#)
- 4.6 [Stock/Purchasing](#)

## **Section 5 Financial Records**

- 5.1 [Accountancy](#)
- 5.2 [Assets Records](#)
- 5.3 [Budgets](#)
- 5.4 [Cashiers Office](#)
- 5.5 [General Income Records](#)
- 5.6 [General Payment Records](#)
- 5.7 [Insurance](#)
- 5.8 [Investments](#)
- 5.9 [Loans/Grants](#)
- 5.10 [Payment of Accounts](#)
- 5.11 [Revenue Collection](#)
- 5.12 [Payroll Records \(Staff and Members\)](#)
- 5.13 [Sundry Debtors](#)
- 5.14 [Benefits](#)
- 5.15 [Benefit Fraud](#)
- 5.16 [Remote Access Terminal Data](#)
- 5.17 [Computer Records Fraud](#)

## **Section 6 Information Management**

- 6.1 [Information Management](#)

## **Section 7 Environmental Health**

- 7.1 [Accident Records](#)
- 7.2 [Environmental Protection](#)
- 7.3 [Public Health](#)
- 7.4 [Litigation](#)
- 7.5 [Licences](#)
- 7.6 [Inspections](#)

## **Section 8 General Public Service**

- 8.1 [Emergency Planning](#)
- 8.2 [Major Incident](#)

## **Section 9 Health & Safety and Operations**

- 9.1 [Accident Records](#)
- 9.2 [Compressed Air Records](#)
- 9.3 [Health Records](#)
- 9.4 [Inspections/ Examinations](#)
- 9.5 [Log Book](#)
- 9.6 [Policies](#)
- 9.7 [Safe System of Work](#)
- 9.8 [Training](#)
- 9.9 [Asbestos Records](#)
- 9.10 [Risk Assessments](#)
- 9.11 [Waste](#)



**Section 10 Property and Building Records**

- 10.1 [Agreements / Arrangements](#)
- 10.2 [Asbestos Records](#)
- 10.3 [Construction](#)
- 10.4 [Asset Records](#)

**Section 11 Planning and Land Use**

- 11.1 [Planning Policy & Implementation](#)
- 11.2 [Planning and Building Regulation](#)
- 11.3 [Infrastructure Management and Maintenance](#)
- 11.4 [Maintenance](#)

**Section 12 Housing**

- 12.1 [Tenancy Agreements](#)
- 12.2 [Register](#)
- 12.3 [Stores](#)
- 12.4 [Temporary Accommodation and Homelessness](#)
- 12.5 [Asset Records](#)
- 12.6 [General Payment Records](#)
- 12.7 [Insurance](#)
- 12.8 [Asbestos Records](#)
- 12.9 [Media \(Housing Case Files\)](#)

**Section 13 Internal Audit**

- 13.1 [Internal Audit](#)

SECTION 1 – PERSONNEL				
FUNCTION DESCRIPTION		RETENTION PERIOD	LIST OF HDC EXAMPLES	AUTHORITY & NOTES
1.1	PERSONNEL ADMINISTRATION			
1.1.1	Summary management systems that allow the monitoring & management of employees in summary form. <b>Note.</b> 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	Permanent. Transfer to Place of Deposit after administrative use is concluded.	Employment Register/s for Permanent, Temporary and/or Casual staff. (On payroll system)	Common Practice
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	Medical Clearance Letter of Appointment Letter of Acceptance Details of Assigned Duties Probation Reports	Common Practice
1.1.3	Personnel file	Archived after employment is terminated. After archived destroy after 6 years.	Warnings Pension Record	Common Practice
1.1.4	All other records	Termination + 7 years		Common Practice
1.2	EMPLOYEE/INDUSTRIAL RELATIONS	RETENTION PERIOD	LIST OF HDC EXAMPLES	AUTHORITY & NOTES
1.2.1	Identification & development of significant directions concerning industrial matters.	Permanent. Transfer to Place of Deposit after administrative use is concluded.	Generic agreements and awards Negotiations Disputes Claims Lodged	Common Practice
1.2.2	Liaison processes of minor and routine industrial matters.	Destroy 6 years after administrative use is concluded.	Daily Industrial Relations Management.	Common Practice
1.2.3	Processing of disciplinary and grievances investigations where proved.	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
<b>1.3</b>	<b>EQUAL EMPLOYMENT</b>	<b>RETENTION PERIOD</b>	<b>LIST OF HDC EXAMPLES</b>	<b>AUTHORITY &amp; NOTES</b>
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
<b>1.4</b>	<b>OCCUPATIONAL HEALTH</b>	<b>RETENTION PERIOD</b>	<b>LIST OF HDC EXAMPLES</b>	<b>AUTHORITY &amp; NOTES</b>
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.
<b>1.5</b>	<b>RECRUITMENT</b>	<b>RETENTION PERIOD</b>	<b>LIST OF HDC EXAMPLES</b>	<b>AUTHORITY &amp; NOTES</b>
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
	Unsuccessful Job Applications	Destroy after 6 months.		
1.5.2	Criminal Records Bureau (CRB) Disclosure	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
<b>1.6</b>	<b>STAFF MONITORING</b>	<b>RETENTION PERIOD</b>	<b>LIST OF HDC EXAMPLES</b>	<b>AUTHORITY &amp; NOTES</b>
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
<b>1.7</b>	<b>STAFF RETENTION</b>	<b>RETENTION PERIOD</b>	<b>LIST OF HDC EXAMPLES</b>	<b>AUTHORITY &amp; NOTES</b>
1.7.1	Financial Reward	Destroy 7 years after action completed.		Common Practice Actual payment records are under finance.
<b>1.8</b>	<b>TERMINATION</b>	<b>RETENTION PERIOD</b>	<b>LIST OF HDC EXAMPLES</b>	<b>AUTHORITY &amp; NOTES</b>
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
<b>1.9</b>	<b>TRAINING DEVELOPMENT</b>	<b>RETENTION PERIOD</b>	<b>LIST OF HDC EXAMPLES</b>	<b>AUTHORITY &amp; NOTES</b>
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).  Individual course assessment records	Permanent.  Transfer to Place of Deposit after administrative use is concluded.	OH & S Training Register	Common Practice
1.9.3	Training (proof of completion)	Retained on personnel file see 1.1.3	Certificates Awards Exam Results	Common Practice

<b>1.10</b>	<b>STATUTORY OFFICER APPOINTMENT</b>	<b>RETENTION PERIOD</b>	<b>LIST OF HDC EXAMPLES</b>	<b>AUTHORITY &amp; NOTES</b>
1.10.1	Summary management systems that allow the monitoring & management of statutory officers in summary form.	Permanent. Recorded in Council minutes.	<u>Statutory Officers as of August 03</u> 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

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

<b>2.3</b>	<b>PARTNERSHIP &amp; AGENCY MEETINGS</b>	<b>RETENTION PERIOD</b>	<b>LIST OF HDC EXAMPLES</b>	<b>AUTHORITY &amp; NOTES</b>
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
<b>2.4</b>	<b>POLITICAL PARTIES' PAPERS</b>	<b>RETENTION PERIOD</b>	<b>LIST OF HDC EXAMPLES</b>	<b>AUTHORITY &amp; NOTES</b>
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.	

<b>SECTION 3 – CORPORATE MANAGEMENT</b>				
<b>FUNCTION DESCRIPTION</b>		<b>RETENTION PERIOD</b>	<b>LIST OF HDC EXAMPLES</b>	<b>AUTHORITY &amp; NOTES</b>
<b>3.1</b>	<b>MANAGEMENT &amp; ADMINISTRATION</b>			
<b>Corporate Planning and Reporting</b>				
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
<b>Statutory Returns</b>				
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



<b>3.2</b>	<b>POLICY, PROCEDURE &amp; STRATEGY</b>	<b>RETENTION PERIOD</b>	<b>LIST OF HDC EXAMPLES</b>	<b>AUTHORITY &amp; NOTES</b>
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
<b>Public Consultation</b>				
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
<b>3.3</b>	<b>QUALITY &amp; PERFORMANCE</b>	<b>RETENTION PERIOD</b>	<b>LIST OF HDC EXAMPLES</b>	<b>AUTHORITY &amp; NOTES</b>
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
<b>Enquiries and Complaints</b>				
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
<b>Publications</b>				
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
<b>Media Relations</b>				
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
<b>Civil and Royal Events</b>				
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
<b>4.1</b>	<b>CASE FILES – ALL CASES</b>			
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
<b>4.2</b>	<b>LITIGATION</b>			
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
<b>Advice</b>				
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
<b>Agreements</b>				
4.2.3	Process of agreeing terms between organisations. <u>Note</u> . 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.

<b>Conveyance</b>				
4.2.4	Deeds of Title	Permanent		Head of HDC Legal & Estates
4.2.5	The process of transferring land ownership.	Destroy 12 years after closure.	Land charges	Head of Administration
<b>4.3</b>	<b>CONTRACTS &amp; TENDERING</b>	<b>RETENTION PERIOD</b>	<b>LIST OF HDC EXAMPLES</b>	<b>AUTHORITY &amp; NOTES</b>
<b>Pre Contract Advice</b>				
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
<b>Specification and Contract Development</b>				
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
<b>Tender Issuing and Return</b>				
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
<b>Post Tender Negotiation</b>				
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	RETENTION PERIOD	LIST OF HDC EXAMPLES	AUTHORITY & NOTES
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	Signed Contract	Statutory Head of HDC Legal & Estates

<b>Contract Management</b>				
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>Service Level Agreements</p> <p>Compliance Reports</p> <p>Performance Reports</p>	<p>Head of HDC Legal &amp; Estates.</p> <p>If there is any dispute at termination, re: performance, consult H of LS.</p>
4.5.3	Management and amendment of contract.	<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>Minutes and papers of meetings</p> <p>Changes to requirements</p> <p>Variation forms</p> <p>Extension of contract</p> <p>Complaints</p> <p>Disputes on payment</p>	<p>Statutory</p> <p>Head of HDC Legal &amp; Estates.</p>
<b>4.6</b>	<b>STOCK/PURCHASING</b>	<b>RETENTION PERIOD</b>	<b>LIST OF HDC EXAMPLES</b>	<b>AUTHORITY &amp; NOTES</b>
4.6.1	Stock records / purchase record cards.	Destroy 3 years after the date of last entry		

<b>SECTION 5 – FINANCIAL RECORDS</b>				
<b>FUNCTION DESCRIPTION</b>		<b>RETENTION PERIOD</b>	<b>AUTHORITY &amp; NOTES</b>	<b>P/M</b>
<b>5.1</b>	<b>ACCOUNTANCY</b>			
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
<b>5.2</b>	<b>ASSETS RECORDS</b>	<b>RETENTION PERIOD</b>	<b>AUTHORITY &amp; NOTES</b>	<b>P/M</b>
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
<b>5.3</b>	<b>BUDGETS</b>	<b>RETENTION PERIOD</b>	<b>AUTHORITY &amp; NOTES</b>	<b>P/M</b>
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
<b>5.4</b>	<b>CASHIERS OFFICE</b>	<b>RETENTION PERIOD</b>	<b>AUTHORITY &amp; NOTES</b>	<b>P/M</b>
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

Prepared by: DHorrex

Page 23 of 46

Date: 23/11/05

Filepath:

Version: 1

E:\moderngov\data\published\Intranet\C00010012\M00001788\AI000160  
51\HuntingdonshireDistrictCouncilCorporatePolicyonDocumentRetentiona

5.4.12	Post-dated cheques register	CY + 2 years	Audit	M
<b>5.5</b>	<b>GENERAL INCOME RECORDS</b>	<b>RETENTION PERIOD</b>	<b>AUTHORITY &amp; NOTES</b>	<b>P/M</b>
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 CY + 2 years	Statute. Limitation Act 1980	P
5.5.5	Bank statements	CY + 6 years	Corporate/VAT.	M
<b>5.6</b>	<b>GENERAL PAYMENT RECORDS</b>	<b>RETENTION PERIOD</b>	<b>AUTHORITY &amp; NOTES</b>	<b>P/M</b>
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
<b>5.7</b>	<b>INSURANCE</b>	<b>RETENTION PERIOD</b>	<b>AUTHORITY &amp; NOTES</b>	<b>P/M</b>
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 <sup>th</sup> 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 insurers	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
<b>5.8</b>	<b>INVESTMENTS</b>	<b>RETENTION PERIOD</b>	<b>AUTHORITY &amp; NOTES</b>	<b>P/M</b>
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
<b>5.9</b>	<b>LOANS/GRANTS</b>	<b>RETENTION PERIOD</b>	<b>AUTHORITY &amp; NOTES</b>	<b>P/M</b>
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	
<b>5.10</b>	<b>PAYMENT OF ACCOUNTS</b>	<b>RETENTION PERIOD</b>	<b>AUTHORITY &amp; NOTES</b>	<b>P/M</b>
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

<b>5.11</b>	<b>REVENUE COLLECTION</b>	<b>RETENTION PERIOD</b>	<b>AUTHORITY &amp; NOTES</b>	
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
<b>5.12</b>	<b>PAYROLL RECORDS (Staff and Members)</b>	<b>RETENTION PERIOD</b>	<b>AUTHORITY &amp; NOTES</b>	<b>P/M</b>
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
<b>5.13</b>	<b>SUNDRY DEBTORS</b>	<b>RETENTION PERIOD</b>	<b>AUTHORITY &amp; NOTES</b>	<b>P/M</b>
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

<b>5.14</b>	<b>BENEFITS</b>	<b>RETENTION PERIOD</b>	<b>AUTHORITY &amp; NOTES</b>	<b>P/M</b>
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		
<b>5.15</b>	<b>BENEFIT FRAUD</b>	<b>RETENTION PERIOD</b>	<b>AUTHORITY &amp; NOTES</b>	<b>P/M</b>
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
<b>5.16</b>	<b>REMOTE ACCESS TERMINAL DATA</b>	<b>RETENTION PERIOD</b>	<b>AUTHORITY &amp; NOTES</b>	<b>P/M</b>
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
<b>5.17</b>	<b>COMPUTER RECORDS FRAUD</b>	<b>RETENTION PERIOD</b>	<b>AUTHORITY &amp; NOTES</b>	<b>P/M</b>
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

<b>SECTION 6 – INFORMATION MANAGEMENT</b>				
<b>FUNCTION DESCRIPTION</b>		<b>RETENTION PERIOD</b>	<b>LIST OF HDC EXAMPLES</b>	<b>AUTHORITY &amp; NOTES</b>
<b>6.1</b>	<b>INFORMATION MANAGEMENT</b>			
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**

<b>FUNCTION DESCRIPTION</b>		<b>RETENTION PERIOD</b>	<b>AUTHORITY &amp; NOTES</b>	<b>P/M</b>
<b>7.1</b>	<b>ACCIDENT RECORDS</b>			
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	P
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	P
<b>7.2</b>	<b>ENVIRONMENTAL PROTECTION</b>	<b>RETENTION PERIOD</b>	<b>AUTHORITY &amp; NOTES</b>	<b>P/M</b>
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	P
7.2.2	Bye-laws (Water related)	6 years after bye-law ceases	Statutory. Water Industries Act 1991 Chapter 56 Section 157	P
7.2.3	Declaration of adoption of a sewer	The lifetime of the sewer	Statutory. Water Industries Act 1991 Chapter 56 Section 102	P
<b>7.3</b>	<b>PUBLIC HEALTH</b>	<b>RETENTION PERIOD</b>	<b>AUTHORITY &amp; NOTES</b>	<b>P/M</b>
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	P
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	P
<b>7.4</b>	<b>LITIGATION</b>	<b>RETENTION PERIOD</b>	<b>AUTHORITY &amp; NOTES</b>	<b>P/M</b>
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	P

<b>7.5</b>	<b>LICENCES</b>	<b>RETENTION PERIOD</b>	<b>AUTHORITY &amp; NOTES</b>	<b>P/M</b>
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
<b>7.6</b>	<b>INSPECTIONS</b>	<b>RETENTION PERIOD</b>	<b>AUTHORITY &amp; NOTES</b>	<b>P/M</b>
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



<b>SECTION 8 – GENERAL PUBLIC SERVICE</b>				
<b>FUNCTION DESCRIPTION</b>		<b>RETENTION PERIOD</b>	<b>LIST OF HDC EXAMPLES</b>	<b>AUTHORITY &amp; NOTES</b>
<b>8.1</b>	<b>EMERGENCY PLANNING</b>			
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
<b>8.2</b>	<b>MAJOR INCIDENT</b>			
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		

**SECTION 9 – HEALTH & SAFETY AND OPERATIONS**

<b>FUNCTION DESCRIPTION</b>		<b>RETENTION PERIOD</b>	<b>LIST OF HDC EXAMPLES</b>	<b>AUTHORITY &amp; NOTES</b>
<b>9.1</b>	<b>ACCIDENT RECORDS</b>			
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
<b>9.2</b>	<b>COMPRESSED AIR RECORDS</b>	<b>RETENTION PERIOD</b>	<b>AUTHORITY &amp; NOTES</b>	<b>P/M</b>
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
<b>9.3</b>	<b>HEALTH RECORDS</b>	<b>RETENTION PERIOD</b>	<b>AUTHORITY &amp; NOTES</b>	<b>P/M</b>
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
<b>9.4</b>	<b>INSPECTIONS/EXAMINATIONS</b>	<b>RETENTION PERIOD</b>	<b>AUTHORITY &amp; NOTES</b>	<b>P/M</b>
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

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 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
<b>9.5</b>	<b>LOG BOOKS</b>	<b>RETENTION PERIOD</b>	<b>AUTHORITY &amp; NOTES</b>	<b>P/M</b>
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

<b>9.6</b>	<b>POLICIES</b>	<b>RETENTION PERIOD</b>	<b>AUTHORITY &amp; NOTES</b>	<b>P/M</b>
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
<b>9.7</b>	<b>SAFE SYSTEMS OF WORK</b>	<b>RETENTION PERIOD</b>	<b>AUTHORITY &amp; NOTES</b>	<b>P/M</b>
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
<b>9.8</b>	<b>TRAINING</b>	<b>RETENTION PERIOD</b>	<b>AUTHORITY &amp; NOTES</b>	<b>P/M</b>
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

<b>9.9</b>	<b>ASBESTOS RECORDS</b>	<b>RETENTION PERIOD</b>	<b>AUTHORITY &amp; NOTES</b>	<b>P/M</b>
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
<b>9.10</b>	<b>RISK ASSESSMENTS</b>	<b>RETENTION PERIOD</b>	<b>AUTHORITY &amp; NOTES</b>	<b>P/M</b>
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
<b>9.11</b>	<b>WASTE</b>	<b>RETENTION PERIOD</b>	<b>AUTHORITY &amp; NOTES</b>	<b>P/M</b>
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**

<b>FUNCTION DESCRIPTION</b>		<b>RETENTION PERIOD</b>	<b>AUTHORITY &amp; NOTES</b>	<b>P/M</b>
<b>10.1</b>	<b>AGREEMENTS/ARRANGEMENTS</b>			
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.	M
<b>10.2</b>	<b>ASBESTOS RECORDS</b>	<b>RETENTION PERIOD</b>	<b>AUTHORITY &amp; NOTES</b>	<b>P/M</b>
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	P
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	P
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	P
<b>10.3</b>	<b>CONSTRUCTION</b>	<b>RETENTION PERIOD</b>	<b>AUTHORITY &amp; NOTES</b>	<b>P/M</b>
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	P
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		

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
<b>11.3</b>	<b>INFRASTRUCTURE MANAGEMENT AND MAINTENANCE</b>	<b>RETENTION PERIOD</b>	<b>LIST OF HDC EXAMPLES</b>	<b>AUTHORITY &amp; NOTES</b>
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
<b>11.4</b>	<b>MAINTENANCE</b>	<b>RETENTION PERIOD</b>	<b>LIST OF HDC EXAMPLES</b>	<b>AUTHORITY &amp; NOTES</b>
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

**SECTION 12 – HOUSING**  
(All of these items are also found in other sections)

FUNCTION DESCRIPTION		RETENTION PERIOD	LIST OF HDC EXAMPLES	AUTHORITY & NOTES
<b>12.1</b>	<b>TENANCY AGREEMENTS</b>			
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.
<b>12.2</b>	<b>REGISTER</b>	<b>RETENTION PERIOD</b>	<b>LIST OF HDC EXAMPLES</b>	<b>AUTHORITY &amp; NOTES</b>
12.2.1	Housing Register Applicant Files	CY + 2 years after case is closed.		Common Practice
<b>12.3</b>	<b>STORES</b>	<b>RETENTION PERIOD</b>	<b>LIST OF HDC EXAMPLES</b>	<b>AUTHORITY &amp; NOTES</b>
12.3.1	Stores Requisitions	CY + 4 years		Audit.
<b>12.4</b>	<b>TEMPORARY ACCOMMODATION AND HOMELESSNESS</b>	<b>RETENTION PERIOD</b>	<b>LIST OF HDC EXAMPLES</b>	<b>AUTHORITY &amp; NOTES</b>
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
<b>12.5</b>	<b>ASSET RECORDS</b>	<b>RETENTION PERIOD</b>	<b>LIST OF HDC EXAMPLES</b>	<b>AUTHORITY &amp; NOTES</b>
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			
<b>12.6</b>	<b>GENERAL PAYMENT RECORDS</b>	<b>RETENTION PERIOD</b>	<b>LIST OF HDC EXAMPLES</b>	<b>AUTHORITY &amp; NOTES</b>
12.6.1	Requisitions for supplies/works	CY + 2 years		Audit.

<b>12.7</b>	<b>INSURANCE</b>	<b>RETENTION PERIOD</b>	<b>LIST OF HDC EXAMPLES</b>	<b>AUTHORITY &amp; NOTES</b>
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.
<b>12.8</b>	<b>ASBESTOS RECORDS</b>	<b>RETENTION PERIOD</b>		<b>AUTHORITY &amp; NOTES</b>
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.

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).
<b>12.9</b>	<b>MEDIA (HOUSING CASE FILES)</b>	<b>RETENTION PERIOD</b>		<b>AUTHORITY &amp; NOTES</b>
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
<b>13.1</b>	<b>INTERNAL AUDIT</b>			
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