



## **South Lakeland District Council**

### **Record Retention Policy (Final Ver. 1.00)**

**July 2004**

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### Version Control

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# Democratic Process

Ref No.	Function Description	Retention Action	Examples of Records	Notes
<b>Democratic Process</b>				
<b>Elections</b>				
<b>Preparation</b>				
1.1	Summary certification of those eligible to vote	<b>Permanent.</b>	<ul style="list-style-type: none"> <li>Electoral Register</li> </ul>	Common practice
1.2	Voting (Local elections only)	Destroy <b>6</b> months from close of poll	<ul style="list-style-type: none"> <li>Ballot papers</li> </ul>	Statutory
<b>Results</b>				
1.3	Declaration of results (local elections only)	Destroy <b>6</b> months from date of election	<ul style="list-style-type: none"> <li>Consolidated Returns of Votes Received</li> </ul>	Statutory
<b>Council and Committee Meetings</b>				
1.4	The process of preparing business for Council consideration and making the record of discussion, debate and resolutions	<p><b>Permanent.</b> Transfer to Place of Deposit after administrative use is concluded.</p> <p>Destroy after <b>6 years</b></p>	<ul style="list-style-type: none"> <li>Council Minutes, Agenda and Indexes</li> <li>Business Papers</li> <li>Council Notice Papers and Proceedings</li> <li>Committee Minutes</li> </ul>	Common Practice

## Democratic Process

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
1.5	Minute taking	Destroy after date of confirmation of the minutes	<ul style="list-style-type: none"> <li>• Draft/Rough Minutes</li> <li>• Audio Tapes</li> </ul>	Common Practice
	<b>Partnership, Agency and External Meetings</b>			
1.6	The process of preparing business for partnership and agencies consideration and making the record of discussion, debate and resolutions, where the local authority legally <b>owns</b> the record.	<p><b>Permanent.</b> Transfer to Place of Deposit after administrative use is concluded.</p> <p>Destroy after <b>6 years</b></p>	<ul style="list-style-type: none"> <li>• Documents establishing the committee</li> <li>• Minutes</li> <li>• Agendas</li> </ul>	Common Practice
			<ul style="list-style-type: none"> <li>• Council reports</li> <li>• Recommendations</li> <li>• Supporting documents such as Council briefing and discussion papers.</li> </ul>	Common Practice
1.7	The process of preparing business for External Committees consideration and making the record of discussion, debate and resolutions, where the local authority <b>does not</b> own the record.	Destroy <b>3</b> years after last action	<ul style="list-style-type: none"> <li>• Documents establishing the committee</li> <li>• Reports</li> <li>• Recommendations</li> <li>• Supporting documents such as briefing and discussion papers.</li> </ul>	Common Practice

### Honours and Submissions

## Democratic Process

1.8	The process of preparing of honours submission.	Destroy <b>5</b> years after last action	<ul style="list-style-type: none"><li>• Honors nomination form</li><li>• Covering documentation</li><li>• Letters of support</li><li>• Referral for comment from lord lieutenant</li></ul>	Common Practice
<b>Political Parties Papers</b>				
1.9.	The process of undertaking representation of the local authority. - Local Authority representatives	Destroy <b>3</b> years after last action	<ul style="list-style-type: none"><li>• Leader of opposition papers</li><li>• Leader of council papers</li></ul>	Common Practice

# Management and Administration

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	<b>Management and Administration</b>			
	<b>Corporate Planning and Reporting</b>			
2.1	The corporate planning and reporting activities of Local Authorities	<b>Permanent.</b> Transfer to Place of Deposit after administrative use is concluded.	<ul style="list-style-type: none"> <li>• Corporate Plans</li> <li>• Strategy Plans</li> <li>• Annual Reports</li> </ul>	Common Practice
2.2	The process of preparing business for strategic consideration and making the record of discussion, debate and resolutions	<b>Permanent.</b> Transfer to Place of Deposit after administrative use is concluded.	<ul style="list-style-type: none"> <li>• Strategic management team minutes</li> </ul>	Common Practice
2.3	The process of preparing business for cross departmental consideration and making the record of discussion, debate and resolutions	Destroy <b>3</b> years from closure		Common Practice
2.4	The process of preparing business for Business Unit consideration and making the record of discussion, debate and resolutions	Destroy <b>3</b> years from closure		Common Practice

## Management and Administration

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	<b>Statutory returns</b>			
2.5	The process of preparing information to be passed on to central government as part of statutory requirements	Destroy <b>7</b> years from closure	<ul style="list-style-type: none"> <li>• Reports to Central Government</li> </ul>	Common Practice.
	<b>Policy, Procedures, Strategy and Structure</b>			
2.6	Activities that develop policies, procedures, strategies and structures for the Local Authorities.	<b>Permanent.</b> Transfer to Place of Deposit after administrative use is concluded.	<ul style="list-style-type: none"> <li>• Policy, Procedure, Precedent, Instructions</li> <li>• Asset management plan</li> <li>• Community Strategy</li> <li>• Community Plan</li> <li>• Community safety plan</li> </ul>	Common Practice
2.7	The process of monitoring and reviewing strategic plans, policies or procedure to assess their compliance with guidelines	Destroy <b>5</b> years from closure		Common Practice

## Management and Administration

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
<b>Public Consultation</b>				
2.8	The process of consulting the public and staff in the development of significant policies of the local authority	Destroy <b>5</b> years from process		Common Practice.
2.9	The process of consulting the public and staff in the development of minor policies of the local authority	Destroy <b>1</b> year from process		Common Practice
<b>Information Management</b>				
2.10	The activity whereby standards, authorities, restraints and verifications are introduced and maintained to manage information effectively.	<b>Permanent.</b> Transfer to Place of Deposit after administrative use is concluded.	<ul style="list-style-type: none"> <li>• Classification Schemes</li> <li>• Registers</li> <li>• Indexes</li> <li>• Authorised Lists of File Headings</li> </ul>	Common Practice
2.11	The management of collections of records transferred to the archives	<b>Permanent.</b> Transfer to Place of Deposit after administrative use is concluded.	<ul style="list-style-type: none"> <li>• Accession registers</li> <li>• Depositor files</li> </ul>	Common Practice
2.12	The process that records the disposal of records.	Destroy <b>12</b> years after last action	<ul style="list-style-type: none"> <li>• Disposal certificates</li> </ul>	Common practice based on Limitation Act

## Management and Administration

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	<b>Enquiries, and Complaints</b>			
2.13.	The management in summary form of enquiries and complaints directed to council.	<b>Permanent.</b> Transfer to Place of Deposit after administrative use is concluded.	<ul style="list-style-type: none"> <li>• Indexes</li> <li>• Registers</li> </ul>	Common Practice
2.14	The management of enquiries, submissions and complaints which result in significant changes to policy or procedures	Destroy <b>6</b> years after the closure of the file.	<ul style="list-style-type: none"> <li>• Reports</li> <li>• Returns</li> <li>• Correspondence</li> </ul>	Common Practice
2.15	The management of detailed responses on Council actions, policy or procedures	Destroy <b>6</b> years after administrative use is concluded	<ul style="list-style-type: none"> <li>• Reports</li> <li>• Returns</li> <li>• Correspondence</li> <li>• Ombudsman</li> </ul>	Common Practice
2.16	The management of routine responses on Council actions, policy or procedures	Destroy <b>2</b> years after administrative use is concluded	<ul style="list-style-type: none"> <li>• Printed Material</li> <li>• Form Letters</li> </ul>	Common Practice

## Management and Administration

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	<b>Quality and performance management</b>			
2.17	The process of monitoring or reviewing the quality, efficiency, or performance of a local authority service or unit.	Destroy <b>5</b> years from closure	<ul style="list-style-type: none"> <li>• Best value Review</li> </ul>	Common Practice
2.18	The process of assessing the quality, efficiency, or performance of a local authority service or unit.	Destroy <b>2</b> years from closure	<ul style="list-style-type: none"> <li>• Assessment form</li> </ul>	Common Practice
	<b>Public relations</b>			
	<b>Publications</b>			
2.19	The process of designing setting information for publication.	Destroy <b>3</b> years from last action		Common Practice
2.20	The published work of the local authority	Destroy after administrative use is concluded. Note: One copy from the initial print run should go directly to the archive.		Common Practice

## Management and Administration

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	<b>Media Relations</b>			
2.21	Process of interaction with the media	Destroy <b>3</b> years from closure		Common Practice
2.22	Media publications concerning Local Authorities	Destroy after <b>6</b> years	<ul style="list-style-type: none"> <li>• Press cuttings</li> <li>• Media reports</li> </ul>	Common Practice
	<b>Marketing</b>			
2.23	The process of developing and promotion of Local Authorities Campaigns and events	Destroy after <b>6</b> years		Common Practice
	<b>Civic and Royal Events</b>			
2.24	The recording of ceremonial events and civic occasions	<b>Permanent.</b> Transfer to Place of Deposit after administrative use is concluded.	<ul style="list-style-type: none"> <li>• Visitors Book</li> <li>• Audio Tapes</li> <li>• Video Tapes</li> <li>• Photographs</li> <li>• Newspaper Clippings</li> </ul>	Common Practice
2.25	The process of organising a ceremonial event or civic occasions	Destroy <b>7</b> years after administrative use is concluded		Common Practice

# Housing

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	<b>Housing</b>			
	<b>Housing Provision</b> <i>The process of the allocation and management of welfare housing by the local authority and the associated issues of homelessness</i>			
3.2	The registration of individuals housing applications.	Permanent.	<ul style="list-style-type: none"><li>• Council Housing Register</li></ul>	Common practice
3.3	The process for applying for council housing. (Unsuccessful applications)	Destroy <b>7</b> years after closure	<ul style="list-style-type: none"><li>• Council housing Application forms and supporting material</li><li>• Application for transfer of tenancy and supporting papers</li></ul>	Common practice

# Housing

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
3.4	The process for managing the tenancy of an individual tenant.	Destroy <b>12</b> years after termination of tenancy.	<ul style="list-style-type: none"> <li>• Correspondence re tenancy</li> <li>• Tenancy Files</li> <li>• Council housing Application forms and supporting material</li> <li>• Application for transfer of tenancy and supporting papers</li> <li>• Application for emergency housing or referral from another agency</li> </ul>	<p>Common practice</p> <p>Details may need to be kept for a longer period of time in order to prove that the tenant was actually housed properly by the authority</p>

# Legal

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

# Legal

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	<b>Conveyance</b>			
4.4	The process of changing ownership of land or property.	Destroy <b>12</b> years after closure	<ul style="list-style-type: none"> <li>Legal files relating to land Council land and property transactions</li> </ul>	Statutory
	<b>Contracts and Tendering</b>			
	<b>Pre Contract Advice</b>			
4.5	The process of calling for expressions of interest	Destroy <b>3</b> years after contract let or not proceeded with	<ul style="list-style-type: none"> <li>Expressions of Interest</li> </ul>	Common practice
	<b>Specification and Contract Development</b>			
4.6	The process involved in the development and specification of a contract	<u>Ordinary Contracts</u> Destroy <b>6</b> years after the terms of contract have expired. <u>Contracts Under Seal</u> Destroy <b>12</b> years after the terms of contract have expired	<ul style="list-style-type: none"> <li>Tender specification</li> </ul> Note: For project files containing drafts leading to a final version these records can be destroyed.	Statutory
	<b>Tender Issuing and Return</b>			
4.7	The processes involved in the issuing and return of a tender.	Destroy 3 years after start of Contract	<ul style="list-style-type: none"> <li>Opening notice</li> <li>Tender envelope</li> </ul>	Common practice

# Legal

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
<b>Evaluation of Tender</b>				
4.8	Summary tender evaluation criteria	<ul style="list-style-type: none"> <li>• <u>Ordinary Contracts</u> Destroy <b>6</b> years after the terms of contract have expired.</li> <li>• <u>Contracts Under Seal</u> Destroy <b>12</b> years after the terms of contract have expired</li> </ul>	<ul style="list-style-type: none"> <li>• Evaluation criteria</li> </ul>	Statutory
4.9	Successful tender document	<ul style="list-style-type: none"> <li>• <u>Ordinary Contracts</u> Destroy <b>6</b> years after the terms of contract have expired.</li> <li>• <u>Contracts Under Seal</u> Destroy <b>12</b> years after the terms of contract have expired</li> </ul>	<ul style="list-style-type: none"> <li>• Tender documents</li> <li>• Quotations</li> </ul>	Statutory
4.10	Unsuccessful tender documents	Destroy <b>3</b> years after start of Contract	<ul style="list-style-type: none"> <li>• Tender documents</li> <li>• Quotations</li> </ul>	Common practice
<b>Post Tender Negotiation</b>				

# Legal

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
4.11	The process in negotiation of a contract after a preferred tender is selected.	(a) <u>Ordinary Contracts</u> Destroy <b>6</b> years after the terms of contract have expired. (b) <u>Contracts Under Seal</u> Destroy <b>12</b> years after the terms of contract have expired	<ul style="list-style-type: none"> <li>• clarification of contract</li> <li>• post tender negotiation minutes</li> </ul>	Common practice
4.12	<b>Awarding of contract</b> The process awarding of contract	<ul style="list-style-type: none"> <li>• <u>Ordinary Contracts</u> Destroy <b>6</b> years after the terms of contract have expired.</li> <li>• <u>Contracts Under Seal</u> Destroy <b>12</b> years after the terms of contract have expired</li> </ul>	<ul style="list-style-type: none"> <li>• Signed contract</li> </ul>	Statutory

# Legal

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	<b>Contract Management</b>			
4.13	Contract operation and monitoring	Destroy <b>2</b> years after the terms of contract have expired	<ul style="list-style-type: none"> <li>• Service Level Agreements</li> <li>• Compliance reports</li> <li>• Performance reports</li> </ul>	Common practice
4.14	Management and amendment of contract	(c) <u>Ordinary Contracts</u> Destroy <b>6</b> years after the terms of contract have expired. (d) <u>Contracts Under Seal</u> Destroy <b>12</b> years after the terms of contract have expired	<ul style="list-style-type: none"> <li>• Minutes and papers of meetings</li> <li>• Changes to requirements</li> <li>• Variation forms</li> <li>• Extension of contract</li> <li>• Complaints</li> <li>• Disputes on payment</li> </ul>	Statutory
	<b>Tenancy Agreements</b>			
4.15	The process of awarding tenancies in welfare housing	a) <u>Ordinary Tenancy</u> Destroy <b>6</b> years after the terms of agreement have expired. b) <u>Tenancy Under Seal</u> Destroy <b>12</b> years after the terms of agreement have expired	<ul style="list-style-type: none"> <li>• Signed tenancy agreements</li> <li>• Sealed tenancy agreements</li> </ul>	Statutory



# Human Resources

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
5.2	<p>The process of administering employees to ensure that entitlements &amp; obligations are in accordance with agreed employment requirements.</p> <ul style="list-style-type: none"> <li>Records containing superannuating information</li> <li>Criminal Records Bureau Disclosure Application Forms</li> </ul>	<p>Destroy <b>6 years</b> from date of last pension payment or <b>6 years</b> from the date of termination of employment if non-pension contributor</p> <p>Destroy after <b>6 months</b> after disclosure application response from CRB</p>		All records held by HR
5.3	<ul style="list-style-type: none"> <li>All other records</li> </ul>	Termination + <b>6 years</b>	<p>Personal File Data: Application form /CV, Letter of appointment, Letter of acceptance, Acceptance Form, Medical Clearance, Statement of Particulars, Induction Checklist, Starters Form, Job descriptions, Job consultations, Educational Qualifications, Declarations of Interest</p>	Could be held by Payroll and HR Practitioner

# Human Resources

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	<b>Employee and Industrial Relations</b>			
5.4	Identification & development of significant directions concerning industrial matters	<b>Permanent.</b> Transfer to Place of deposit after administrative use is concluded.	<ul style="list-style-type: none"> <li>• Generic Agreements (White, Green and Purple Books)</li> <li>• Negotiations/ Consultations</li> <li>• Disputes</li> <li>• Claims lodged by Unions</li> <li>• Locally Agreed Procedures (Disciplinary, grievance etc)</li> </ul>	These are the policy, procedures and not individual cases

## Human Resources

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
5.5	Liaison processes of minor and routine industrial matters	Destroy <b>2</b> years after administrative use is concluded.	<ul style="list-style-type: none"> <li>Daily Industrial Relations management eg new /updates to policies – flexible working, internet at work policy</li> </ul>	
5.6	Processing of Investigations where proved: <ul style="list-style-type: none"> <li>Disciplinary Issues</li> <li>Grievance Issues</li> <li>Dignity at Work issues</li> </ul>	<p>Oral Warning – <b>6</b> months.            Written Warning - <b>1</b> year.            Final Warning - <b>1</b> year.            The above warnings to be removed &amp; destroyed after the relevant time have 'spent'.            Warnings Involving Children – Placed on personal file permanently</p> <p>Destroy <b>6</b> years from date of last pension payment or <b>6</b> years from date of termination of employment if non-pension contributor – for grievance and dignity at work issues</p>	<p>Minutes of Meetings, investigation reports, letters formal notification of warning</p>	<p>Documents of this nature may also be held by work or union representatives and are covered by their document retention policy.</p>

## Human Resources

- |     |   |  |  |
|-----|---|--|--|
| 5.7 | Processing Investigations where unfounded: Disciplinary, Grievance issues and Dignity at work | Destroy within 6 months after completion of the appeal or after the date for appeal. | <ul style="list-style-type: none"> <li>• Disciplinary, Grievance and Dignity at Work:</li> <li>• Investigation reports, witness statements, letters minutes of hearings etc</li> </ul> |
|-----|---|--|--|

### Equal Employment Opportunities

- |     |  |   |                 |
|-----|--|---|-----------------|
| 5.8 | The process of investigation and reporting on specific cases to ensure that entitlements & obligations are in accordance with agreed Equal Employment Opportunities guidelines policies. | Where founded destroy <b>6</b> years from date of last pension payment or <b>6</b> years from date of termination of employment if non-pension contributor.<br><br>Where unfounded destroy <b>6</b> months after final decision | Common practice |
|-----|--|---|-----------------|

# Human Resources

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
<b>Occupational Health</b>				
5.9	The process of checking and ensuring the health of staff.	These are treated as 'live' for current employees and are destroyed <b>6 years</b> after termination	Personal Files and Ill health case files in HR	<ul style="list-style-type: none"> <li>• Health questionnaire</li> <li>• Medical clearance</li> <li>• Adjustment to work place</li> <li>• Restrictions</li> <li>• Recommendations</li> </ul>
<b>Recruitment</b>				
5.10	The selection of an individual for an established position	Destroy 1 year after recruitment has been finalised.  Relevant documents will be placed on the successful candidates personal file See section 5.3	Advertisements Application Forms / Interview notes and any referee reports for unsuccessful applicants	Details of unsuccessful applicants could be held by HR Practitioners, Recruiting managers and the HR group when they are involved in the interview process
	'On spec' applications	Letter of reply is retained for <b>6</b> months only. CV is returned or destroyed.	CV's, generic application forms and letters of enquiry	
<b>Staff Monitoring</b>				
5.11	Performance	<b>6 years</b> from date of termination of employment	<ul style="list-style-type: none"> <li>• Probation reports</li> <li>• Performance Management records, plans and Appraisals</li> </ul>	

# Human Resources

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
5.12	Process of monitoring staff leave and attendance.	Retain on employment file (see section 5.3)	<i>Sick Leave</i> Authorised absence records e.g. jury service, study leave, special leave	Sick leave is recorded on the Payroll system
		Destroy <b>2</b> years after action completed	<i>Flexitime sheets</i> Annual Leave Cards Time Sheets	
<b>Staff Retention</b>				
5.13	Financial reward	Destroy <b>7</b> years after action completed	Loyalty payments Long service awards	
5.14	Other strategy	Destroy <b>3</b> years after action completed		
<b>Termination</b>				
5.15	The process of termination of staff through voluntary redundancy, dismissal and retirement.	Destroy <b>6</b> years after termination  If a pension is paid then records should be destroyed <b>6</b> years after last payment of pension	<ul style="list-style-type: none"> <li>• Resignation</li> <li>• Redundancy</li> <li>• Dismissal</li> <li>• Death</li> <li>• Retirement</li> </ul>	Records may be held by HR, payroll and Managers

## Human Resources

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	<b>Training and Development</b>			
5.16	Routine staff training processes,	Destroy <b>3</b> years after action	<ul style="list-style-type: none"> <li>Course bookings, Individual staff assessment of course attended. Any training materials</li> </ul>	
5.17	Training (occupational health and safety training)	Destroy <b>50</b> years after training completed  Individual course assessment records should be destroyed once the training has been renewed every 3 years	<ul style="list-style-type: none"> <li>Eg RIDDOR, COSHH</li> <li>Driver assessment</li> <li>Manual Handling</li> </ul>	
5.18	Training – Proof of Completion	Place on individual file (see section 5.3)	<ul style="list-style-type: none"> <li>Training Log</li> <li>Skills log</li> <li>Certificates</li> <li>Awards</li> <li>Exam results</li> </ul>	
	<b>Appointment of Statutory Officers</b>			
5.19	Summary management systems that allow the monitoring & management of statutory officers in summary form	<b>Permanent.</b> Transfer to place of deposit after administrative use concluded		<b>Statutory officers:</b> Head of Paid Service Chief Finance Officer Monitoring Officer

# Human Resources

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
5.20	The process of administering employees to ensure that entitlements & obligations are in accordance with agreed employment requirements	Destroy <b>6</b> years after departure from Employment		
5.22	The process of selection of an individual for an statutory position	Destroy <b>2</b> years after date of appointment	<ul style="list-style-type: none"> <li>• Vacancies &amp; Applications Records</li> <li>• Interview notes</li> <li>• Prospective Staff Records</li> <li>• Registers of Applicants</li> <li>• Unsuccessful Applications Records</li> </ul>	

# Financial Management

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	<b>Financial Management</b>			
	<b>Accounts &amp; Audit</b>			
	<b>Reporting</b>			
6.1	The process that consolidates financial transactions on an annual basis for corporate reporting purposes.	<b>Permanent.</b> Transfer to Place of Deposit after administrative use is concluded.	<ul style="list-style-type: none"> <li>• Consolidated Annual Reports</li> <li>• Consolidated Financial Statements</li> <li>• Statement of Financial Position</li> <li>• Operating Statements</li> <li>• General Ledger</li> </ul>	Common practice
6.2	The process that supports and consolidates financial transactions on a periodic (less than annual) basis, superseding those from the previous period. Does not include journals and subsidiary ledgers and cash books	Destroy when administrative use is concluded.	<ul style="list-style-type: none"> <li>• Consolidated Monthly &amp; Quarterly Reports</li> <li>• Consolidated Monthly &amp; Quarterly Financial Statements</li> <li>• Working Papers for the preparation of the above</li> <li>• Monthly Accrual Statements</li> <li>• Cash Flow Statements</li> <li>• Creditor Listings and Reports</li> <li>• Debtor Listings and Reports</li> </ul>	Common practice

# Financial Management

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	<b>Financial Transactions Management</b>			
6.3	Management of the approvals process for purchase, including investigations	Destroy <b>7</b> years after the end of the financial year in which the records were created	<ul style="list-style-type: none"> <li>• Appointments &amp; Delegations</li> <li>• Audit Investigations</li> <li>• Arrangements for the Provision of Goods and/or Services</li> </ul>	Statutory
6.4	Identification of the receipt, expenditure and write offs of public monies	Destroy <b>6</b> years after the conclusion of the financial transaction that the record supports	<ul style="list-style-type: none"> <li>• Allowances</li> <li>• Work Orders</li> <li>• Invoices</li> <li>• Credit Card Statements</li> <li>• Cash Books</li> <li>• Receipts</li> <li>• Cheque Counterfoils</li> <li>• Bank Statements</li> <li>• Subsidiary Ledgers (Annual)</li> <li>• Journals (Annual)</li> <li>• Vouchers</li> </ul>	Statutory
6.5	Process involving the provision and support for individuals using public transportation.	Destroy <b>6</b> years after the conclusion of the financial transaction that the record supports.	<ul style="list-style-type: none"> <li>• Applications</li> <li>• Card issue</li> <li>• Rail warrants</li> </ul>	Statutory

# Financial Management

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
6.6	Processes that balance & reconcile financial accounts	Destroy <b>2</b> years after administrative use is concluded	<ul style="list-style-type: none"> <li>• Reconciliation</li> <li>• Summaries of Accounts</li> </ul>	Common practice
6.7	Taxation Records	Destroy <b>5</b> years after the end of the financial year in which the records were created	<ul style="list-style-type: none"> <li>• Taxation Records</li> <li>• Motor Vehicle Logs</li> <li>• Fringe Benefits Tax Records</li> <li>• Group Certificates</li> </ul>	Statutory
6.8	Processes involved in the collection of National Insurance Number	Destroy <b>2</b> years after the employee ceases employment	<ul style="list-style-type: none"> <li>• Notification &amp; Input Records</li> </ul>	Common practice
6.9	<p><b>Payroll</b></p> <p><b>Accountable</b> processes relating to payment of employees</p>	Destroy <b>7</b> years after the conclusion of the financial transaction that the record supports	<ul style="list-style-type: none"> <li>• Authority Sheets</li> <li>• Payroll Deduction Authorities</li> <li>• Payroll Disbursement</li> <li>• Employee Pay Records</li> <li>• Employee Taxation Records</li> </ul>	Statutory

# Financial Management

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
<b>Financial Provisions</b>				
<b>Budgets And Estimates</b>				
6.10	The process of finalising Local Authorities' annual budget	<b>Permanent.</b> Transfer to Place of Deposit after administrative use is concluded.	<ul style="list-style-type: none"> <li>• Annual Budget</li> </ul>	<p>Common practice Only the final version of the annual budget needs to be kept</p>
6.11	The process of developing Local Authorities' annual budget.	Destroy <b>2</b> years after annual budget adopted by Local Authorities.	<ul style="list-style-type: none"> <li>• Draft Budgets</li> <li>• Departmental Budgets</li> <li>• Draft Estimates</li> </ul>	Common practice
6.12	The process of reporting which examines the budget in relation to actual revenue and expenditure	Destroy after <b>next</b> year's annual budget has been adopted by Local Authorities	<ul style="list-style-type: none"> <li>• Quarterly Statements</li> </ul>	Common practice

## Financial Management

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
6.13	The activity of borrowing money to enable Local Authorities to perform its functions and exercise its powers.	Destroy <b>7</b> years after the loan has been repaid	<ul style="list-style-type: none"> <li>Loan Files</li> </ul>	Statutory
6.14	Summary management of loans	<b>Permanent.</b> Transfer to Place of Deposit after administrative use is concluded.	<ul style="list-style-type: none"> <li>Loans Registers</li> </ul>	Common practice

### Housing

6.16	Mortgages	<p><b>Last payment + 6</b> years if signed</p> <p><b>Last payment +12</b> years if sealed</p>	<ul style="list-style-type: none"> <li>Mortgage agreements</li> <li>Correspondence</li> </ul>	Statutory
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## Financial Management

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
6.17	"Right to Buy"	Destroy <b>12</b> years after sale of house	<ul style="list-style-type: none"> <li>• Sale documents</li> <li>• Agreement concerning sale</li> </ul>	Common practice
6.18	Rent Payments	Destroy <b>7</b> years after the end of the financial year in which created	<ul style="list-style-type: none"> <li>• Rent books</li> <li>• Correspondence concerning payment</li> <li>• Requests for payment</li> </ul>	Statutory
6.19	Home Improvement Grants	<p>Destroy one year after the end of the grant condition period or 6 years after the last payment whichever is comes first.</p> <p>Where plans and detailed drawings included, with the permission of the grant applicant, offer to Archivist.</p>	<ul style="list-style-type: none"> <li>• Agreement to pay loan</li> <li>• Details of payments</li> <li>• Correspondence relating to loan</li> </ul>	Statutory
6.20	Records of sites/buildings which may be developed for affordable housing	Permanent	Plans and correspondence	Common practice
6.21	Homeless Applications Records	Destroy after 4 years from the date of permanent re-housing for accepted applications, 4 years from the latest action for other applications	Correspondence	Common practice

# Financial Management

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
6.20	The banding of domestic properties for the purpose of calculating the tax base and levying Council Tax.	<b>Valuation lists - Permanent.</b> Destroy <b>7</b> years after the end of the financial year in which it was created.	<ul style="list-style-type: none"> <li>• Valuation lists</li> <li>• Correspondence</li> <li>• Appeals</li> <li>• Reports</li> </ul>	Common practice
6.21	<b>Non Domestic Rating List</b> The valuation of non domestic hereditaments for the purpose of levying non domestic rates	Destroy <b>7</b> years after the end of the financial year in which it was created.	<ul style="list-style-type: none"> <li>• Valuation lists</li> <li>• Correspondence</li> <li>• Appeals</li> <li>• Reports</li> </ul>	Common practice

# Financial Management

Ref. No	Function Description	Retention Action	Examples of Records	Notes
6.22	<p><b>Council Tax and Non Domestic Rates</b></p> <p>The activity of corresponding with Council Tax payers in relation to the collection, administration and recovery of Council Tax and Non Domestic rates.</p>	Destroy 7 years after last action	<ul style="list-style-type: none"> <li>• Notices</li> <li>• Correspondence</li> <li>• Appeals</li> <li>• Rate Certificates</li> <li>• Changes of Occupation</li> <li>• Recovery action</li> </ul>	Common practice
6.23	<p><b>Benefits</b></p> <p>The administration assessment and payment of housing benefit and Council Tax benefit</p>	Destroy 7 years after the end of the financial year in which it was created	<ul style="list-style-type: none"> <li>• Benefit application forms</li> <li>• Change of circumstance</li> <li>• Proof of income/capital</li> <li>• Appeals</li> <li>• Overpayment recovery</li> <li>• Subsidy</li> <li>• Claims and returns</li> </ul>	Common practice

# Financial Management

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	<p><b>Summary Assets Management</b>  <i>See Property Management for real property assets. See Transport Management for vehicle assets.</i></p>			
6.25	Summary management reporting on the overall assets of the Local Authorities	<b>Permanent.</b> Transfer to Place of Deposit after administrative use is concluded.	<ul style="list-style-type: none"> <li>• Schedules of Acquisitions</li> <li>• Consolidated Current Asset Reports</li> <li>• Annual Reports</li> <li>• Summary of Current Assets</li> <li>• Asset Registers</li> </ul>	Common practice
	<p><b>Asset Monitoring and Maintenance</b></p>			
6.26	Management systems that allow the monitoring & management of assets in summary form.	Destroy <b>7</b> years after the conclusion of the financial transaction that the record supports	<ul style="list-style-type: none"> <li>• Subsidiary Asset Registers</li> </ul>	Common practice

# Financial Management

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
6.27	Process of reporting and reviewing assets status	Destroy <b>2</b> years after administrative use is concluded.	<ul style="list-style-type: none"> <li>• Routine Returns and Reports on Asset Status</li> <li>• Inventories</li> <li>• Stocktaking</li> <li>• Surveys of Usage</li> <li>• Acquisition and Disposal Reports &amp; Proposals</li> </ul>	Common practice
6.28	The process of maintaining assets	Destroy <b>7</b> years after last action	<ul style="list-style-type: none"> <li>• Garden maintenance</li> <li>• Cleaning</li> <li>• Painting</li> </ul>	Common practice
6.29	The process of maintaining Plant, and equipment.	Destroy <b>7</b> years after sale or disposal of asset	<ul style="list-style-type: none"> <li>• Service Records</li> <li>• Plant Files</li> </ul>	Common practice

# Financial Management

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	<b>Asset Acquisition and Disposal</b>			
6.30	Management of the acquisition (by financial lease or purchase) and disposal (by sale or write off) process for assets	Destroy <b>6</b> years, if under £50 000 or <b>12</b> years if over £50 000, after all obligations/entitlements are concluded.	<ul style="list-style-type: none"> <li>• Legal Documents relating to the Purchase/Sale</li> <li>• Particulars of Sale Documents</li> <li>• Board of Survey</li> <li>• Leases</li> <li>• Applications for Leases, Licences &amp; Rental Revision</li> <li>• Tender Documents</li> <li>• Conditions of Contracts</li> <li>• Certificates of Approval</li> </ul>	Statutory

# Property and Land Management

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	<b>Property and Land Management</b>			
7.1	Reports to management on overall property of the Local Authority	<b>Permanent. Offer to Archivist.</b> Transfer to Place of Deposit after administrative use is concluded.	<ul style="list-style-type: none"> <li>• Consolidated Property &amp; Buildings Annual Reports</li> <li>• Summary of Leased Property</li> <li>• Summary of Local Authorities Owned Property</li> <li>• Site Register</li> <li>• Register of Leases</li> </ul>	Common practice
	<b>Property Acquisition and Disposal</b>			
7.2	Management of the acquisition (by financial lease or purchase) process for real Property	Retain for life of property or building plus 12 years. Offer material re major/significant properties to Archivist for review		Common practice
7.3	Management of the disposal (by sale or write off) process for real Property	Destroy <b>12</b> years after all obligations/entitlements are concluded. Offer material re major/significant properties to Archivist for review	<ul style="list-style-type: none"> <li>• Legal Documents relating to the Sale</li> <li>• Particulars of Sale Documents</li> <li>• Board of Survey</li> <li>• Tender Documents</li> <li>• Conditions of Contracts</li> </ul>	Common practice

# Property and Land Management

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	<p><b>Property Development and Renovation</b></p> <p><i>The process of managing and undertaking renovations and development of property</i></p>			
7.5	<p>Management</p> <ul style="list-style-type: none"> <li>Buildings and estates of “special interest”</li> </ul>	<p><b>Permanent.</b> Transfer to Place of Deposit after administrative use is concluded.</p>	<ul style="list-style-type: none"> <li>Project Specifications</li> <li>Plans</li> <li>Installation Manuals</li> <li>Certificates of Approval</li> </ul>	<p>Common practice</p>
7.6	<p>Management</p> <ul style="list-style-type: none"> <li>All other buildings and estates</li> </ul>	<p>Retain for life of property or building</p>	<ul style="list-style-type: none"> <li>Project Specifications</li> <li>Plans</li> <li>Installation Manuals</li> <li>Certificates of Approval</li> </ul>	<p>Common practice</p> <p>For asbestos see health and safety under general public services</p>
7.7	<p>The action process involved in the development and renovation of property.</p>	<p>Destroy <b>7</b> years after the conclusion of the transaction that the record supports</p>	<ul style="list-style-type: none"> <li>Work Orders</li> <li>Tender Documents</li> <li>Conditions of Contracts</li> </ul>	<p>Common practice</p>

# Property and Land Management

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	<b>Leasing And Occupancy</b>			
7.8	The process of managing leased property	Destroy <b>12</b> years after the expiry of the lease	<ul style="list-style-type: none"> <li>• Lease Agreements</li> <li>• Rental Expenditure Authorities</li> <li>• Valuation Queries</li> <li>• Applications for Leases, Licences &amp; Rental Revision</li> </ul>	Common practice
7.9	The process of managing the occupancy of property	Destroy <b>7</b> years after the conclusion of the transaction that the record supports	<ul style="list-style-type: none"> <li>• Requests for Works, Cleaning, etc.</li> </ul>	Common practice
	<b>Housing Provision</b>			
7.10	The process of managing local authority welfare housing estates	Destroy <b>4</b> years after last action.	<ul style="list-style-type: none"> <li>• Stock monitoring records</li> </ul>	Common practice

# Property and Land Management

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	<b>Systems Management</b>			
7.11	The internal process to develop or extend the capabilities of a system used to support the activities of the local authority	Retain for life of system then Destroy		
7.12	The process to Implement a system used to support the activities of the local authority	Destroy <b>7</b> years after last action	<ul style="list-style-type: none"> <li>• Implementation plan</li> </ul>	
7.13	The process to Support and administer a system used to support the activities of the local authority Note to ensure back up disposal is tied in with Back-ups	Destroy <b>5</b> years after last action		
	<b>Transport Management</b>			
7.14	The process of acquisition and disposal of vehicles through lease or purchase	Destroy <b>7</b> years after the disposal of the vehicle	<ul style="list-style-type: none"> <li>• Leases</li> <li>• Contracts</li> <li>• Quotes</li> <li>• Approvals</li> <li>• Fleet Authorisation Numbers</li> </ul>	

## Property and Land Management

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
7.15	The process of managing allocation & maintenance of vehicles	Destroy <b>7</b> years after the sale or disposal of the vehicle	<ul style="list-style-type: none"> <li>• Approvals as Drivers</li> <li>• Allocations &amp; Authorisations for Vehicles</li> <li>• Maintenance</li> </ul>	
7.16	The process of recording vehicle usage	Destroy <b>3</b> years after the sale or disposal of the vehicle	<ul style="list-style-type: none"> <li>• Vehicle Usage Reports</li> </ul>	
7.17	The process of recording drivers usage	Destroy <b>7</b> years after closure	<ul style="list-style-type: none"> <li>• Vehicle Log book</li> </ul>	
<b>Insurance</b>				
<b>Policy Management</b>				
7.19	The summary management of insurance arrangements	<b>Permanent.</b> Transfer to Place of Deposit after administrative use is concluded.	<ul style="list-style-type: none"> <li>• Insurance Register</li> </ul>	
7.20	The process of insuring Local Authorities Officers, property, vehicles and equipment against negligence, loss or damage	Destroy <b>7</b> years after the terms of the policy have expired	<ul style="list-style-type: none"> <li>• Insurance Policies</li> <li>• Correspondence</li> </ul>	
7.21	The process of renewing insurance policies	Destroy <b>5</b> years after the insurance policy has been renewed	<ul style="list-style-type: none"> <li>• Insurance Policy Renewal Records</li> <li>• Correspondence</li> </ul>	

# Property and Land Management

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
7.22	<b>Claims Management</b> The process that records insurance claims against the Local Authorities or Local Authorities Officers	Destroy <b>7</b> years after all obligations/entitlements are concluded (allowing for the claimant to reach <b>25</b> years of age)	<ul style="list-style-type: none"><li>• Claims Records</li><li>• Correspondence</li></ul>	

# General Public Services

## General Public Services

### Inspections and Assessments

8.1	Process of inspecting equipment to ensure it is safe.	Destroy <b>6</b> Years from destruction of the equipment	<ul style="list-style-type: none"> <li>• Equipment inspection records</li> </ul>	Statutory
8.2	Processing the geo-technical assessments of a quarry	When quarry is no longer in use consult or refer to Health and Safety Executive (HSE)		Statutory
8.3	Process of carrying out monitoring to ensure it is safe.	Destroy <b>3</b> Years from last action	<ul style="list-style-type: none"> <li>• Monitoring results</li> </ul>	Statutory
8.4	Process of monitoring of areas where employees and persons are likely to have become in contact with asbestos	Destroy <b>40</b> Years from last action.	<ul style="list-style-type: none"> <li>• Property asbestos files</li> </ul>	Common practice based on Statutory
8.5	Process of monitoring of areas where employees and persons are likely to have come in contact with radiation	Destroy <b>50</b> Years from last action or at age <b>75</b> years whichever is the greater.		

## General Public Services

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
8.6	Process to ensure safe systems of work	Retain until superseded or process ceases, +1 year		Common practice
8.7	Process to assess the level of risk	Destroy <b>3</b> Years from last assessment.	<ul style="list-style-type: none"> <li>Risk assessment</li> </ul>	Statutory
8.8	Processes that permit work	Destroy <b>1</b> Year from last action.		Common practice
8.9	Process that record injuries to adults	Destroy <b>3</b> Years from closure	<ul style="list-style-type: none"> <li>Accident books</li> </ul>	Statutory
<p><b>Enforcement Certification and Prosecution</b>  <i>(Includes information created within environmental health).</i></p>				
<p><b>Registration, Certification and Licensing</b></p>				
8.11	Summary management systems that allow the monitoring & management of registration, certification and Licences registration requirements in summary form.	<b>Permanent.</b> Transfer to Place of Deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>Visual impairment register</li> </ul>	Common practice

## General Public Services

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
8.12	The administration of applications, registration, certification and Licences in relation to Local authorities registration requirements. For topics in relation to toxic or hazardous substances (including petroleum) see 8.13.	Destroy <b>2</b> years after registration or entitlement lapses	<ul style="list-style-type: none"> <li>• Applications for Animal Registration</li> <li>• Applications for Registration of a Business Premises</li> <li>• Applications for Release of Animals Impounded</li> <li>• Registers</li> <li>• Certificates of Registration</li> <li>• Animal movement licences</li> <li>• Gaming</li> <li>• Fire certification</li> <li>• Disabled Parking permits</li> <li>• Registration to sell poison</li> </ul>	Statutory Note may want archival review in cases of licensing of children in entertainment.
8.13	The process involved in licensing sites for the holding or use of toxic or hazardous substances. (Including petroleum, agricultural chemical products or herbicides)	Transfer to Place of Deposit after administrative use is concluded - <b>60</b> years after registration or entitlement lapses	<ul style="list-style-type: none"> <li>• Diesel licences</li> <li>• Petroleum licences</li> <li>• Health and safety licensing</li> <li>• Hazardous substances</li> <li>• Contaminated land register/pollution</li> </ul>	Common practice

## General Public Services

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	<b>Notification</b>			
8.14	The process of issuing notices to citizens with respect to particular responsibilities	Destroy <b>2</b> years after notice has expired	<ul style="list-style-type: none"> <li>• Fire Prevention Notices</li> <li>• Fire Prevention Infringement Notices</li> <li>• Objections to Notices</li> <li>• Appeals Against Notices</li> <li>• Registration of Premises Infringement Notices</li> <li>• Animal Impounding Notices</li> </ul>	Common practice
	<b>Investigation, Inspection and Monitoring</b>			
8.15	The process of investigation, monitoring or inspection laws in the responsibility of the local authority.	Destroy <b>7</b> years from last action.		Common practice
	<b>Prosecution</b>			
8.16	The process of prosecution or sanction of an individual or organisation for failing to comply with their legal responsibilities.	Destroy <b>7</b> years from last action.	<ul style="list-style-type: none"> <li>• Prosecution/sanction files</li> </ul>	Common practice

# General Public Services

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	<b>By-Laws</b>			
	<b>Enactment</b>			
8.17	The process of making local laws	Transfer to Place of Deposit after administrative use is concluded.	<ul style="list-style-type: none"> <li>• Master Set of by-laws</li> <li>• Policy Development Documents</li> <li>• Correspondence</li> <li>• Submissions</li> </ul>	Common practice
	<b>Administration &amp; Enforcement</b>			
8.18	The process of administering and enforcing Bye-laws	Destroy <b>2</b> years after certificate has expired or penalty payment has been made or the matter has been finished or correspondence on the matter has ceased.	<ul style="list-style-type: none"> <li>• Applications and Certificates</li> <li>• Permits</li> <li>• Licenses</li> <li>• Infringement Notices (Parking)</li> <li>• Correspondence</li> </ul>	Common practice

## General Public Services

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
<b>Cemeteries &amp; Crematoria</b>				
8.19	Summary management systems that record the location and occupancy of deceased individuals.	Transfer to Place of Deposit after administrative use is concluded.	<ul style="list-style-type: none"> <li>• Internment register</li> <li>• Lair register</li> <li>• Lair Plans</li> </ul>	Common practice
8.20	The process of regulation of burials and cremations	Destroy <b>5</b> year after last action	<ul style="list-style-type: none"> <li>• Permits</li> <li>• Applications</li> <li>• Orders</li> </ul>	Common practice
<b>Waste Management</b>				
<i>The provision of hard waste removal, destruction and waste reduction services by the council to ratepayers.</i>				
<b>Collection</b>				
8.22	The process of arranging the collection or transportation of household waste.	Destroy <b>2</b> year after last action		Common practice
8.23	The process of arranging the collection or transportation of controlled waste.	Destroy <b>6</b> year after last action		Common practice

# Planning and Land Use

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
<b>Planning and Land Use</b>				
<b>Planning Scheme Development and Amendment</b>				
9.1	The activity of developing a vision and strategic directions regarding existing and future land use within the municipality and the development of local and town centre plans to ensure the implementation of the Structure Plan	When plan superseded remove.	<ul style="list-style-type: none"> <li>• Local Plan</li> <li>• Local Development Framework</li> <li>• Consultation Strategy Action Area Plans</li> </ul>	Common practice
9.2	The activity of consultation to gain approval for the Structure Plan or Local Plans	When plan superseded remove.	<ul style="list-style-type: none"> <li>• Consultation</li> <li>• Documents and replies</li> <li>• Inquiries and objections made by members of public</li> <li>• Public Inquiry documents</li> </ul>	Common practice
9.3	The activity of recording information on historical buildings, monuments and ecology at a specific site.	Transfer to Place of Deposit after administrative use is concluded.	<ul style="list-style-type: none"> <li>• Sites and Monuments records</li> <li>• Ecological records</li> <li>• Species records</li> <li>• Historically listed buildings</li> <li>• Definitive map</li> <li>• Commons registration</li> </ul>	Common practice

## Planning and Land Use

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
9.4	The activity of establishing planning scheme controls and providing for them to be amended.	Transfer to Place of Deposit after administrative use is concluded. Destroy when succeeding surveys undertaken	<ul style="list-style-type: none"> <li>Land Use surveys</li> </ul>	Common practice
9.5	The process of receiving, considering and responding to submissions and objections to planning schemes and amendments	Destroy <b>15</b> years after decision.	<ul style="list-style-type: none"> <li>Application consultation</li> <li>Objections</li> <li>Inquiries – Public etc</li> <li>Archeological; advice/conditions</li> </ul>	Common practice
9.6	The process of controlling development of areas through applications for planning permission	Archive <b>15</b> years after decision.	<ul style="list-style-type: none"> <li>Planning application files and plans</li> <li>Correspondence relating to any objections</li> <li>Hearing papers</li> <li>Planning application register</li> </ul>	Common practice

## Planning and Land Use

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
9.7	The process of maintaining the countryside and developing open spaces for public amenity	<p><b>Permanent.</b> Transfer to Place of Deposit after administrative use is concluded</p> <p>Refer all files relating to policy to the Archives</p> <p>Destroy other files 7 years after administrative use concluded</p>	<ul style="list-style-type: none"> <li>• Tree preservation orders</li> <li>• Country parks and nature reserve development plans and correspondence, land purchase agreements</li> </ul>	Common practice
	<b>Planning Scheme Regulation</b>			
9.8	The summary management of planning scheme regulation	Transfer to Place of Deposit after administrative use is concluded.	<ul style="list-style-type: none"> <li>• Building Control Registers</li> </ul>	Common practice
9.9	The process of regulating the planned use of land or buildings.	Destroy <b>15</b> years after closure (including permissions and refusals decision process)		Common practice
9.10	The process of approving building applications in relation to listed or other significant buildings.	Transfer to Place of Deposit after administrative use is concluded.	<ul style="list-style-type: none"> <li>• Building Files</li> <li>• Plans</li> <li>• Specifications</li> <li>• Correspondence</li> <li>• Applications</li> <li>• Permits</li> <li>• Certificates</li> </ul>	Common practice

## Planning and Land Use

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
9.11	The process of approving building applications, for all other buildings	Destroy <b>15</b> years after construction complete.	<ul style="list-style-type: none"> <li>• Building Files</li> <li>• Plans</li> <li>• Specifications</li> <li>• Correspondence</li> <li>• Applications</li> <li>• Permits</li> <li>• Certificates</li> <li>• Objections</li> </ul>	Common practice
9.12	The process of inspecting building work for the purpose of insuring compliance.	Destroy <b>10</b> years after the issue of a certificate of final inspection.	<ul style="list-style-type: none"> <li>• Certificate of Final Inspection</li> <li>• Building Inspection Records</li> <li>• Diaries</li> </ul>	Common practice
9.13	The process of enforcing building or land regulations	Destroy <b>3</b> years after compliance with enforcement notice.		

## Planning and Land Use

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
<b>Planning and Development</b>				
9.14	The activity of recording location of highways, bridle paths and rights of way.	Transfer to Place of Deposit after administrative use is concluded.	<ul style="list-style-type: none"> <li>Definitive map</li> <li>Correspondence concerning enquiries and disputes</li> </ul>	Common practice
9.15	The activity of establishing planning scheme controls and providing for them to be amended and modified.	Transfer to Place of Deposit after administrative use is concluded.	<ul style="list-style-type: none"> <li>Amendments to definitive map</li> <li>Road adoption</li> </ul>	Common practice
9.16	The process of receiving, considering and responding to submissions and objections to planning schemes and amendments	Destroy paper records <b>7</b> years after decision. Destroy electronic records <b>15</b> years after decision.	<ul style="list-style-type: none"> <li>Enquiries, consultation documents, objections and correspondence</li> </ul>	Common practice
9.17	The process of enforcing Infrastructure and transport regulations	Destroy <b>3</b> years after compliance with enforcement notice.		Common practice

# Infrastructure and Transport

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	<b>Infrastructure and Transport</b>			
	<b>Traffic Management</b>			
10.1	The activity of planning, and programming the continued flow, diversion or reduction of traffic.	<b>Permanent</b> Or until revoked or superseded	• Traffic orders	Common practice
	<b>Design and Construction</b>			
10.2	The activity of planning, designing, programming and constructing roads, streets, bridges, and tunnels.	Transfer to Place of Deposit after administrative use is concluded.		Common practice

# Infrastructure and Transport

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	<b>Infrastructure Management and Maintenance</b>			
10.3	The activity of providing municipal services in relation to Infrastructure within the local authority.	Destroy 7 years after last action	<ul style="list-style-type: none"> <li>• Street Files</li> <li>• Street Records</li> </ul> <p>Requests for:</p> <ul style="list-style-type: none"> <li>• Hedge clipping</li> <li>• Tree planting</li> <li>• Naming of streets</li> <li>• Numbering of houses</li> <li>• Street load limits</li> <li>• Street signs</li> <li>• Bus shelters</li> <li>• Applications to dig Footpaths</li> <li>• HGV application</li> <li>• Advice / comment</li> <li>• Level crossings</li> <li>• Right of ways</li> <li>• Roundabouts</li> <li>• Traffic humps</li> </ul>	Common practice
	<b>Road Maintenance</b>			
10.4	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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