

## STRATEGY / POLICY FRONT COVER



**Name of Strategy / Policy: Document Retention Policy**

**Date last updated: November 2011**

**Links to Council Priorities:**

<b>Priority</b>	<b>Linked Yes / No?</b>
<b>Environment – Civic Pride</b>	<b>No</b>
<b>Regeneration and Homes</b>	<b>No</b>
<b>Improving the Council</b>	<b>Yes</b>
<b>Community Safety</b>	<b>No</b>

### **Links to Other Strategies and Policies**

FOI Strategy

Publication Scheme

### **Action Plan in this document?**

No

### **Is progress on the action plan regularly updated?**

N/A

### **Officer Monitoring**

**Name of officer responsible for co-ordinating and progressing the action plan: Emma Holmes**

### **Member Monitoring**

**Name of cabinet portfolio holder responsible for over viewing progress of the Strategy / Policy (if applicable):**

**Member forum for agreeing the policy / strategy (if applicable):**

**Has it been subject to a Diversity Impact Assessment? Yes**

**Has it been subject to an Environmental Sustainability Impact Appraisal? Yes**



# **CASTLE POINT BOROUGH COUNCIL**

## **Document Retention Policy**

Version 4.0  
November 2011

## CONTENTS

1. Introduction .....	3-4
2. Scope/Purpose .....	4-5
3. The Retention/Disposal Guidelines.....	4-6
4. Roles and Responsibilities.....	6
5. Disposal .....	6
6. Documentation of Disposal .....	7
<b>Appendix 1</b> Retention Guidelines -	10-30
• Management and Administration	
• Committee and Electoral Registration	
• Housing and Housing / Council Tax Finance Personnel	
• Property and Land Management	
• Planning and Land Use (Including Building Control)	
• Technical	
• Financial Services and Audit	
• Health and Safety	
• Registration, Certification and Licensing	
• Legal and Contracts	
• General	
<b>Appendix 2</b> - Flow Chart for Retention/Disposal protocol	31
<b>Appendix 3</b> – Record of Disposal table	32

## 1. INTRODUCTION

In the course of carrying out its various functions and activities the Council receives and generates a wide range of data/information which is recorded in documents. These documents can take many different forms e.g.

- letters received from third parties
- copies of letters which have been sent out
- file attendance notes
- invoices
- completed application forms
- plans/drawings
- financial records
- registers
- contracts/deeds
- e-mail communications (and any attachments)

Many of these documents are subsequently retained in one form or another e.g. as 'hard' paper records or on computer in digital form. For the avoidance of any doubt the terms 'document' and 'records' should be taken to include documents/records which are in digital format e.g. on computer as a 'Word' or 'Excel' file.

Retention of specific documents may be necessary for one or more of the following reasons:

- to fulfil statutory or other regulatory requirements
- to evidence events/agreements in the case of dispute
- to meet operational needs
- to ensure the preservation of documents of historic or other value

The untimely destruction of documents to which one or more of the above criteria is applicable could cause the Council:

- (i) difficulty in defending an unmeritorious claim brought against it;
- (ii) operational problems; or
- (iii) embarrassment

Conversely, the permanent retention of *all* documents is undesirable and to be discouraged. Disposal, where appropriate, is to be encouraged for the following reasons:

- There is a shortage of new storage space
- Disposal of existing documents can free up space for more productive activities
- Indefinite retention of personal data may be unlawful (see below)
- Reduction of fire risk (in the case of paper records)
- Expense

The introduction of the Data Protection Act and the Freedom of Information Act set out legislation for the retaining of documentation and making council documentation freely available. In order to meet the 20 day deadline to provide information under the Freedom of Information Act it will be essential to ensure that records are up to date and easily accessible and identifiable to ensure this deadline is met.

## 2. **SCOPE & PURPOSE**

The purpose of this Policy is to provide a corporate policy framework to govern management decisions on whether, a document (or set of documents) should either:

- (i) be retained – and if so in what format, and for what period; or
- (ii) disposed of

Additionally, this Policy seeks to delineate and clarify the roles and responsibilities of Head of Services in the decision making process.

### Matters which fall outside the scope of this Policy

This Policy is **not** concerned with the following:

- Disposal/retention of unused materials (e.g. stocks of paper, unused forms)
- Materials that do not comprise, or form part of, a record of a Council business activity/transaction.

### **3. Retention/ Disposal Protocol**

Any decision whether to retain or destroy a document should be taken in accordance with the protocol below. The steps 1-5 below set out the procedure for assessing whether a document should be destroyed or retained. This process should be repeated once any minimum period of retention has expired (see section 2). This procedure is summarised in the flow chart in appendix 2

#### **1. Assess Document**

Although this may seem obvious the first step is to assess the contents of any document to ascertain what information is held. This may only take a few seconds but it is important to ascertain what information is held to ensure that documentation is not destroyed incorrectly.

#### **2. Is there a statutory/regulatory requirement to retain the documents?**

In some cases there is a legal requirement for documents to be kept for a minimum time period. The tables in appendix 1 provide guidance for specific documents.

There is a 'General' table to cover documents not specifically covered in the document.

#### **3. Is information required as evidence in case of dispute/likely dispute?**

Where action is taken by the council or against the council legislation provides guidance for time scales within which action must begin.

The Limitations Act 1980 specifies time limits for commencing litigation. The main time limits that are directly relevant to local government are summarised in the table overleaf.

TYPE OF CLAIM	TIME LIMIT FOR LEGAL ACTION TO HAVE BEEN BOUGHT
Simple Contract/Tort (not personal Injury) E.g. debt recovery, damage to property, compensation claims	6 years from date incident occurred
Personal Injury	3 years from date of incident <b>OR</b> 3 years from date injured person first had knowledge of the injury, its cause and person responsible.
Claims regarding Sealed Documents E.g. deeds of conveyance, long leases	12 years from date of cause of action
Latent Damage Claims (not personal Injury) where facts relevant to the cause of action were not known to the claimant at date of negligence.	15 years from date of negligence

4. Is information required to meet the operational needs of the service?

In some cases retention may be desirable (whether permanent or otherwise) even though no minimum retention period applies, or has expired. Heads of Services should be open to the danger of discarding documents or records that might be useful for future reference purposes (e.g. training), as precedents, or for performance management (performance indicators, benchmarking and comparison exercises). A professional judgement needs to be made as to the usefulness of a particular document.

5. Does the document have historic interest?

Some documents currently in Council storage may be of historic interest and/or even have some monetary value. This applies to both paper and electronic records.

Where it is suspected that the document falls within this description appropriate enquiries should always be made before taking any further action. If the document is of historical or monetary value it may not be appropriate for the council to retain the document but to transfer the document to an appropriate organisation e. g. the County Records office; or even sale to an external body.

### **Decision to retain or destroy document**

If the minimum retention period has expired and the answer to questions 3-5 is NO the document should be destroyed and a record made of the destruction see section 5 below.

If a document is to be retained where possible the file should be marked to illustrate the date when it should be reviewed or that it needs to be retained permanently.

If a paper file is to be retained for a minimum period the files should be clearly marked, where possible with that date after which retention of that document should be reviewed.

A file/spreadsheet should be kept in each department listing review dates for records to aid future audits. This will be essential where documents are only held in electronic format. This will prevent staff repeating the retention process in the future on documents that need to be kept permanently. It should also aid staff in future audits of records to pinpoint records which need to be considered for destruction.

#### Review on expiry of retention period

Where a retention period has expired in relation to a particular document a review should always be carried out before a final decision is made to dispose of that document. Steps 1-5 of the protocol should be repeated and a decision made. Such review need not necessarily be detailed or time consuming. Where the Head of Service (or designated officer) is familiar with the contents of the document(s) - or where the contents are straightforward and easily apparent – such exercise may only take a few minutes.

In the event that a decision is taken to dispose of a particular document this should be completed in line with section 5 below.

#### **4. Roles and Responsibilities**

Responsibility for determining whether to retain or dispose of documents rests with the relevant Head of the Service.

This responsibility can be delegated to other officers.

Heads of Services will be expected to be proactive in carrying out or instigating audits of existing documentation that may be suitable for disposal. An initial audit should aimed to be completed by 1<sup>st</sup> September 2004. Records not marked for permanent retention should subsequently be checked on a regular basis and destroyed as appropriate.

Legal Services can advise on whether minimum retention periods are prescribed by law and whether retention is necessary to protect the councils position where the likelihood of a claim has been identified. In other cases the Heads of Service will have better working knowledge and will be expected to make the decision on record retention.

## **5. Disposal**

Documents should be disposed of by

- throwing away
- shredding
- deleting from computer systems
- migration of document to an external body

Where information is of a personal or confidential nature it **MUST** be shredded. If there is doubt or uncertainty as to the nature of the document it should be shredded.

Migration of documents to a third party is unlikely to be an option in most cases. However, this method of disposal will be relevant where documents or records are of historic interest and/or have intrinsic value. The third party here could well be the Public Record Office (“PRO”). “Migration” includes the sale of documents to a third party.

## **6. Documentation of Disposal**

Once a document has been assessed as needing to be disposed of a record should be kept in each department of :

- Any reference Number
- Date created
- Date work completed/last used
- Date destroyed
- Method of destruction
- Authorisation for destruction

These records should be kept in spreadsheet format to reduce storage of paper and to make searching for confirmation of destruction easily accessible to aid future information requests.

A standard form for recording this information is provided in Appendix 3. These records should be stored centrally in each department to enable staff dealing with requests for information to be able to easily access the information. Each department should consider recording this information electronically in order to make it easily accessible and to reduce retention of paper documents.

## **Appendix 1 Minimum Retention Period Guidelines**

- Committee and Electoral Registration *page 11*
- Management and Administration *pages 12-13*
- Housing and Housing / Council Tax Finance *pages 14-15*
- Personnel *pages 16*
- Property and Land Management *page 17*
- Planning and Land Use (Including Building Control) *pages 18-20*
- Technical *pages 21-22*
- Financial Services and Audit *pages 23-25*
- Health and Safety *page 26*
- Registration, Certification and Licensing *page 27*
- Legal and Contracts *pages 28-29*
- General *page 30*

All Guidelines are obtained from Statute, General Practice or Guidance from the British Records Management Society

### Committee and Electoral Registration

REF NO	Documentation	Minimum Retention Period
1.1	Electoral register	<b>Permanent</b>
1.2	Local Election Only  Ballot Papers, Consolidated returns,	<b>6 months from date of election</b>
1.3	<i>Council and Committee meetings</i>  Agendas, reports, minutes	<b>Permanent</b>
1.4	Minute taking draft notes/audio tapes	<b>Destroy after date of confirmation of minutes</b>
1.5	Records of disclosure by members, under old system and to monitoring officer	<b>Permanent</b>
1.6	<i>Partnership Agency and External meetings where CL owns record:</i>  Documents establishing the committee, agendas, minutes, council reports, recommendations, supporting documents e.g. briefing and discussion papers.	<b>Permanent</b>
1.7	<i>Partnership Agency and External meetings where CL does not own record:</i>  Documents establishing the committee, reports, recommendations, supporting documents e.g. briefing and discussion papers.	<b>Permanent</b>
1.8	Honors Submission Nomination form, covering documentation, letters of support	<b>5 years after last action</b>
1.9	Leader of Opposition and Leader of Council papers	<b>3 years after last action</b>

### Management and Administration

Ref No	Documentation	Retention Period
<b>2.0</b>	Corporate Plans Strategy Plans Business Plans Annual Reports	<b>Permanent</b>
<b>2.1</b>	Strategic management team minutes	<b>Permanent</b>
<b>2.2</b>	Documents used in process of preparing business for cross departmental consideration, records of discussion debate and resolutions	<b>3 years from closure</b>
<b>2.3</b>	Documents used in process of preparing business for unit/team consideration, records of discussion debate and resolutions	<b>3 years from closure</b>
<b>2.4</b>	Statutory Returns Preparing information to be passed on to central government	<b>7 years from closure</b>
<b>2.5</b>	Policy, procedure precedent, instructions Organisation Charts, Records relating to policy implementation and development Asset management plan Community strategy, plan and safety plan	<b>Permanent</b>
<b>2.6</b>	Monitoring and reviewing strategic plans, policies and assessing compliance with guidelines	<b>5 years from closure</b>
<b>2.7</b>	<i>Public Consultation</i> Staff and public consultation of significant policies of the council	<b>5 years from closure</b>
<b>2.8</b>	<i>Public Consultation</i> Staff and public consultation of minor policies of the council	<b>1 year from closure</b>
<b>2.9</b>	<i>Enquiries and Complaints</i> Indexes and Registers of Complaints in summary form	<b>Permanent</b>
<b>3.0</b>	<i>Enquiries and Complaints</i> Reports, returns and correspondence for detailed responses	<b>6 years after administrative use concluded</b>
<b>3.1</b>	<i>Enquiries and Complaints</i> Routine responses	<b>2 years after administrative use concluded</b>
<b>3.2</b>	<i>Quality and Performance Management</i>	

	Best Value review	<b>5 years from closure</b>
<b>3.3</b>	<i>Quality and Performance Management</i> Assessment Forms	<b>2 years from closure</b>
<b>3.4</b>	<i>Media relations</i> Media reports, press cuttings	<b>3 years from closure</b>

**Housing / Housing Finance (incl. C. Tax)**

Ref No	Documentation	Retention Period
3.5	Council Housing Register	<b>Permanent</b>
3.6	Application Unsuccessful Applicants <ul style="list-style-type: none"> <li>• Application Forms</li> <li>• Supporting Papers</li> <li>• Notes re decision</li> <li>• Notification letter</li> </ul>	<b>7 years after closure</b>
3.7	<i>Tenancy management</i> <ul style="list-style-type: none"> <li>• Correspondence re tenancy</li> <li>• Tenancy Files</li> <li>• Application forms and supporting information</li> <li>• Application for Transfer Forms and supporting information</li> <li>• Referrals from another agency</li> </ul>	<b>12 years after termination of tenancy</b>
3.8	Homelessness Applications <ul style="list-style-type: none"> <li>• Application Forms</li> <li>• Supporting Information</li> <li>• Enquiry Notes</li> <li>• Decision letters</li> <li>• Review Documents</li> </ul>	<b>7 years after decision/last action</b>
3.9	Rent Payments <ul style="list-style-type: none"> <li>• Rent books,</li> <li>• correspondence concerning payment,</li> <li>• request for payment</li> </ul>	<b>7 years after the end of the financial year in which created</b>
4.0	Right to Buy <ul style="list-style-type: none"> <li>• Sale documents</li> <li>• Agreement concerning sales</li> </ul>	<b>12 years after sale of house</b>
4.1	Home Improvement Grants	<b>6 years after last payment with grant</b>

	<ul style="list-style-type: none"> <li>• Agreement to pay loan</li> <li>• Details of payments</li> <li>• Correspondence relating to loan</li> </ul>	<b>under £50,000</b> <b>12 years with grant over £50,000</b>
<b>4.2</b>	Housing Benefit/Council tax benefit <ul style="list-style-type: none"> <li>• Completed claim form</li> <li>• Supporting evidence</li> </ul>	<b>6 years after end of claim (including renewals)</b>
<b>4.3</b>	Rateable Properties <ul style="list-style-type: none"> <li>• Rate books</li> <li>• Rate Cards</li> <li>• Register of Rateable properties</li> </ul>	<b>Permanent</b>
<b>4.4</b>	Council Tax Valuation <ul style="list-style-type: none"> <li>• Valuation Lists</li> <li>• Correspondence</li> <li>• Objections</li> <li>• Reports</li> </ul>	<b>10 years after the year in which valuation made</b>
<b>4.5</b>	Rates/Council Tax Correspondence <ul style="list-style-type: none"> <li>• Notices</li> <li>• Objections</li> <li>• Applications</li> <li>• Correspondence</li> <li>• Rate certificates</li> <li>• Rate property files</li> <li>• Notices of acquisition and disposition</li> </ul>	<b>7 years after last action</b>

## Personnel

Ref No	Documentation	Retention Period
4.6	Recruitment Records Non Short listed Applicants Applications, referee reports, internal notes reports, CV's.	<b>1 year from date advised not short listed</b>
4.7	Recruitment Records Short listed Applicants not appointed Applications, referee reports, interview reports, CV's.	<b>1 year from date advised of the appointment decision</b>
4.8	Application Form of Appointed person	<b>Duration of Employment</b>
4.9	Collection of NINO	<b>2 years after the employee ceases employment</b>
5.0	Employment records* <ul style="list-style-type: none"> <li>• Letter of Appointment</li> <li>• Letter of acceptance</li> <li>• Details of Assigned duties</li> <li>• Medical Clearance</li> <li>• Medical Examinations</li> <li>• Probation reports</li> <li>• Educational Qualifications</li> <li>• Secrecy Undertakings</li> <li>• Employment contracts</li> </ul>	<b>6 years from date of last pension payment</b>
5.1	Records relating to staff working with children*	<b>25 years from end of employment</b>
5.2	All other records*	<b>6 years from end of employment</b>
5.3	Annual Assessments	<b>5 years</b>
5.4	Training History	<b>6 years</b>
5.5	Health Information*	<b>Until age 72</b>
5.6	Death Benefit nomination forms*	<b>Until age 72</b>
5.7	Death Certificates Decrees absolute Marriage Certificates	<b>Copy of records until age 72 return any originals to individual</b>
5.8	Pension Estimates and awards	<b>Until age 72</b>
5.9	Statutory Maternity Pay	<b>6 years</b>

\* See records 11.6, 11.7. 11.9 12.0 for additional time scales if personnel affected by Health and Safety Issues

### Property and Land Management

Ref No	Documentation	Retention Period
<b>6.0</b>	Council Property Management Consolidated property and building annual reports Summary of leased property Summary of council owned property Site register Register of leases	<b>Permanent</b>
<b>6.1</b>	Plans of new properties	<b>Retain for life of property + 12 years</b>
<b>6.2</b>	Sale of Property Legal documents, particulars of sale, board of survey, tender documents, conditions of contracts	<b>15 years after all obligations/entitlements are concluded</b>
<b>6.3</b>	Property development/regeneration “Special interest buildings/estates” – project specifications, plans, installation manuals, certificates of approval	<b>Permanent</b>
<b>6.4</b>	Property development/regeneration project specifications, plans, installation manuals, certificates of approval	<b>Retain for life of Property</b>
<b>6.5</b>	Property development/regeneration Work Orders, tender documents, Conditions of contract	<b>7 years after the conclusion of the transaction that the record supports.</b>
<b>6.6</b>	Leased Properties Lease agreements, valuation queries, applications for leases, licenses and rental revision	<b>15 years after the expiry of the lease</b>
<b>6.7</b>	Leased Properties Request for works cleaning etc	<b>7 years after the conclusion of the transaction that the record supports</b>
<b>6.8</b>	Insurance Register	<b>Permanent</b>
<b>6.9</b>	Insurance Policies Correspondence	<b>7 years after the terms of the policy have expired</b>
<b>7.0</b>	Insurance Claims records and correspondence	<b>7 years after all obligations are concluded (or until claimant is 25 years of age whichever is greater)</b>
<b>7.1</b>	Insurance Policy Renewal records and correspondence	<b>5 years after renewal</b>

## Planning and Land Use

Ref No	Documentation	Retention Period
7.2	<ul style="list-style-type: none"> <li>• Structure Plan</li> <li>• Local Plan</li> <li>• Town Centre Plans</li> <li>• Unitary Development Plans</li> </ul> <p>Consultation documents and replies, inquiries and objections made, public inquiry documents relating to the above</p>	<b>Permanent</b>
7.3	<p><i>Historical Buildings monuments and ecology at Specific Sties</i></p> <ul style="list-style-type: none"> <li>• Site and Monument Records</li> <li>• Ecological records</li> <li>• Species Records</li> <li>• Historically Listed buildings</li> <li>• Definitive Map</li> <li>• Commons registration</li> </ul>	<b>Permanent</b>
7.4	<p>Planning Scheme controls and amendments</p> <ul style="list-style-type: none"> <li>• Successful waste Planning application</li> <li>• Successful Mineral Planning application</li> <li>• Amendments to definitive Map</li> <li>• Mineral register</li> <li>• Applications for mineral extraction</li> <li>• Land Use Surveys</li> </ul>	<b>Permanent</b>
7.5	<p>Planning Scheme controls and amendments</p> <ul style="list-style-type: none"> <li>• Consultation – waste planning and mineral planning applications</li> <li>• Objections</li> <li>• Inquiries</li> </ul>	<b>15 years after decision</b>

	<ul style="list-style-type: none"> <li>• Archaeological advice/conditions</li> </ul>	
<b>7.6</b>	<p>Tree Preservation Orders</p> <ul style="list-style-type: none"> <li>• Preservation Order</li> </ul> <ul style="list-style-type: none"> <li>• Register of applications for consent</li> <li>• Decisions made</li> <li>• Compensation granted</li> <li>• Directions for replanting</li> </ul>	<p><b>For as long as T.P.O. is in force</b></p> <p><b>Permanent</b></p>
<b>7.7</b>	<p>Planning Applications</p> <ul style="list-style-type: none"> <li>• Part I Register of applications for planning permission</li> </ul>	<b>Until Application disposed of</b>
<b>7.8</b>	<p>Planning Applications</p> <ul style="list-style-type: none"> <li>• Part II Register of applications for planning permission. Register must include a copy of application, drawings, decision of council/secretary of state</li> </ul> <p>Subsequent approval Planning obligation or s.278 agreement</p>	<b>Permanent</b>
<b>7.9</b>	<p>Planning Applications</p> <ul style="list-style-type: none"> <li>• Part II Register of planning permissions granted by the secretary of state on appeal against enforcement notices (must include particulars of development concerned the land on which it was carried out, copy of decision letter and any planning obligation or s.278 agreement)</li> </ul>	<b>Permanent</b>
<b>8.0</b>	<p>Planning Application</p> <ul style="list-style-type: none"> <li>• Planning application files (excludes certificate of lawfulness applications)</li> </ul>	
<b>8.1</b>	<p><i>Planning Applications</i></p> <ul style="list-style-type: none"> <li>• Documentary evidence submitted in support of Certificate of Lawfulness applications</li> </ul>	<b>Permanent</b>
<b>8.2</b>	Building Control	

	<ul style="list-style-type: none"> <li>• Register of notices and certificates given to the council under part II of the Building Act 1984</li> </ul>	<b>Permanent</b>
<b>8.3</b>	<p>Building Control</p> <ul style="list-style-type: none"> <li>• Building notices</li> <li>• Plans</li> <li>• Inspection Reports</li> <li>• Specifications</li> <li>• Correspondence</li> <li>• Applications</li> <li>• Objections</li> <li>• Inspection Records</li> <li>• Diaries</li> <li>• Certificate of final Inspection</li> </ul>	<b>15 years from issue of final certificate</b>
<b>8.4</b>	<p>Emergency Planning Major Incident Plan</p>	<b>Permanent</b>
<b>8.5</b>	<p>Emergency Planning Records of results from testing emergency plan</p>	<b>10 years after closure</b>
<b>8.6</b>	<p>Emergency Planning Documentation relating to major incidents in the local community (whether emergency plan invoked or not)</p>	<b>Permanent</b>
<b>8.7</b>	<p>Emergency Planning Documentation relating to minor incidents in the local community</p>	<b>7 years after closure</b>

### Technical

Ref No	Documentation	Retention Period
<b>8.8</b>	<ul style="list-style-type: none"> <li>• Structure Plan</li> <li>• Local Transport Plan</li> <li>• Definitive Map</li> <li>• Amendments to definitive Map</li> <li>• Correspondence concerning enquiries and dispute of highways, bridle paths and rights of way</li> <li>• Road Adoption</li> </ul>	<b>Permanent</b>
<b>8.9</b>	Traffic Orders Street files Street records	<b>7 years after action completed</b>
<b>9.0</b>	Requests for: <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 up pavements</li> <li>• HGV applications</li> <li>• Level Crossings</li> <li>• Right of Ways</li> <li>• Roundabouts</li> <li>• Traffic Claming</li> <li>• Street Lighting</li> </ul>	<b>7 years after last action</b>
<b>9.1</b>	<i>Road Maintenance</i>	<b>12 years after action completed</b>

	Documents relating to repairing roads, bridges, bridle paths, rights of way and tunnels	
<b>9.2</b>	<i>Maintaining Council Assets</i> Garden maintenance files Cleaning Painting	<b>7 years after last action</b>
<b>9.3</b>	Traffic regulation Orders	<b>Duration of Order + 6 months</b>
<b>9.4</b>	Highway extinguishments and diversion orders	<b>Permanent</b>
<b>9.5</b>	Correspondence, notices, consultations and consents relating to making of traffic regulation orders and highway extinguishments and diversion orders.	<b>Duration of the Order</b>
<b>9.6</b>	<i>Public transport</i> <ul style="list-style-type: none"> <li>• Timetables and routes</li> <li>• Maps</li> <li>• Fares</li> <li>• Customer and Industry Liaison</li> </ul>	<b>3 years after superseded or last action.</b>

### Financial Services and Audit

Ref No	Documentation	Retention Period
9.7	Accounts <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>	<b>Permanent</b>
9.8	<i>Accounts</i> <ul style="list-style-type: none"> <li>• Consolidated monthly and quarterly reports Consolidated monthly and quarterly financial statements</li> <li>• Working Papers for the above</li> <li>• Monthly accrual statements</li> <li>• Cash flow statements</li> </ul>	<b>Destroy when administrative use is concluded</b>
9.9	Audit Reports	<b>2 years after formal clearance by the appointed auditor</b>
10.0	Estimates Supporting info, calculations, statistics	<b>3 years after the end of the financial year to which they relate</b>
10.1	Orders for Payment	<b>Permanent</b>
10.2	Debtors records	<b>18 months after the end of the financial year to which they are paid or written off 6 years minimum in respect of any unpaid account which has not been written off</b>
10.3	Taxation Records	<b>5 years after the end of the financial year which records where created</b>
10.4	VAT Records	<b>6 years</b>
10.5	<i>Receipt, Expenditure and Wrote off of public Monies</i>	<b>6 years after the conclusion of the</b>

	<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>	<b>transaction that the record supports</b>
<b>10.6</b>	Payroll Authority Sheets Payroll deduction authorities Payroll disbursement Employee pay records Employee taxation records	<b>7 years after the conclusion of the financial transaction that the record supports</b>
<b>10.7</b>	Budgets Annual Budget	<b>Permanent</b>
<b>10.8</b>	Budgets Draft budgets Departmental budgets Draft estimates	<b>2 years after annual budget adopted</b>
<b>10.9</b>	Loans Loan Register	<b>Permanent</b>
<b>11.0</b>	Loans Loan Files	<b>7 years after loan been repaid</b>
<b>11.1</b>	Local Authorities Assets <ul style="list-style-type: none"> <li>• Schedules of acquisitions</li> </ul>	<b>Permanent</b>

	<ul style="list-style-type: none"> <li>• Consolidated current asset reports</li> <li>• Annual reports</li> <li>• Summary of current assets</li> <li>• Asset registers</li> </ul>	
<b>11.2</b>	<p>Local Authorities Assets</p> <ul style="list-style-type: none"> <li>• Subsidiary asset registers</li> </ul>	<b>7 years after the conclusion of the transaction that the record supports</b>
<b>11.3</b>	<p>Local Authorities Assets</p> <ul style="list-style-type: none"> <li>• Routine reports</li> <li>• Inventories</li> <li>• Stocktaking</li> <li>• Surveys of Usage</li> <li>• Acquisition and disposal reports and proposals</li> </ul>	<b>2 years after administrative use is concluded</b>
<b>11.4</b>	<p><i>Local Authorities Assets</i> <i>Acquisition and disposal of assets</i></p> <ul style="list-style-type: none"> <li>• Legal documents relating to sale/purchase</li> <li>• Particulars of Sale</li> <li>• Board of survey</li> <li>• Leases</li> <li>• Applications for leases, licenses and rental revision</li> <li>• Tender documents</li> <li>• Conditions of contracts</li> <li>• Certificates of approval</li> </ul>	<b>6 years if under £50,000 or 12 years if over £50,000 after all obligations/entitlements are concluded.</b>

**Health and Safety**

<b>Ref No</b>	<b>Documentation</b>	<b>Retention Period</b>
<b>11.5</b>	Equipment Inspection Records	<b>6 years from the destruction of the equipment</b>
<b>11.6</b>	Radiation Monitoring of areas where employees and persons are likely to be in contact.	<b>50 years from last action or at age 75 years whichever is greater</b>
<b>11.7</b>	Asbestos monitoring of areas where employees and persons are likely to be in contact.	<b>40 years from last action</b>
<b>11.8</b>	Risk Assessments	<b>3 years from last assessment</b>
<b>11.9</b>	Accident Books (accidents relate to adults)	<b>3 years from closure</b>
<b>12.0</b>	Accident Books (accidents relate to children)	<b>25 years from closure</b>

### Registration, Certification and Licensing

Ref No	Documentation	Retention Period
12.1	Applications for animal registration	<b>2 years after registration or entitlement lapses</b>
12.2	Animal movement licenses	<b>2 years after registration or entitlement lapses</b>
12.3	Application for release of animals impounded	<b>2 years after registration or entitlement lapses</b>
12.4	Application for registration of a business premises	<b>2 years after registration or entitlement lapses</b>
12.5	Certificates of registration of Door supervisors, Beauty therapists, Taxi drivers	<b>2 years after registration or entitlement lapses</b>
12.6	Gaming Licences	<b>2 years after registration or entitlement lapses</b>
12.7	Fire Certification	<b>2 years after registration or entitlement lapses</b>
12.8	Disabled Parking permits Blue Badge applications	<b>2 years after registration or entitlement lapses</b>
12.9	Registration to sell poison	<b>2 years after registration or entitlement lapses</b>
13.0	Licensing Diesel Licences Petroleum Licences Health and Safety Licensing Hazardous substances Contaminated land register/pollution	<b>60 years after registration or entitlement lapses</b>
13.1	<i>Notification</i> Notices relevant to breaches of licence conditions	<b>2 years after matter concluded</b>
13.2	<i>Monitoring/Investigating/inspections</i>	<b>7 years after last action</b>
13.3	Prosecution or sanction of an individual or company for failure to comply with license	<b>7 years after last action</b>

### Legal and Contracts

Ref No	Documentation	Retention Period
<b>13.4</b>	Documentation regarding legal advice	<b>6 years from date wholly completed</b>
<b>13.5</b>	Litigation Files	<b>6 years from completion of litigation</b>
<b>13.6</b>	Prosecution files	<b>6 years from date of conviction</b>
<b>13.7</b>	Conveyancing files	<b>12 years after last action</b>
<b>13.8</b>	Contracts Expressions of Interest	<b>2 years after contract let or not proceeded with</b>
<b>13.9</b>	Contracts Development and specification of a contract	<b>6 years after terms of contract has expired 12 years after contract has expired if contract under seal</b>
<b>14.0</b>	Contracts Signed Contract	<b>6 years after terms of contract has expired 12 years after contract has expired if contract under seal</b>
<b>14.1</b>	Contracts <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 contracts</li> <li>• Complaints</li> <li>• Disputes</li> </ul>	<b>6 years after terms of contract has expired 12 years after contract has expired if contract under seal</b>
<b>14.2</b>	Contracts <ul style="list-style-type: none"> <li>• <i>Service level agreements</i></li> <li>• Compliance reports</li> <li>• Performance reports</li> </ul>	<b>2 years after the terms of the contract have expired</b>
<b>14.3</b>	Tenders <ul style="list-style-type: none"> <li>• Opening notices</li> <li>• Tender envelopes</li> </ul>	<b>1 year after start of contract</b>
<b>14.4</b>	Successful Tenders	<b>6 years after terms of contract has expired</b>

	<ul style="list-style-type: none"> <li>• Evaluation Criteria</li> <li>• Tender Documents</li> <li>• Quotations</li> </ul>	<b>12 years after contract has expired if contract under seal</b>
<b>14.5</b>	Unsuccessful Tenders <ul style="list-style-type: none"> <li>• Tender Documents</li> <li>• Quotations</li> </ul>	<b>1 year after start of contract</b>
<b>14.6</b>	<i>Post Tender</i> <ul style="list-style-type: none"> <li>• Clarification of Contract</li> <li>• Post tender negotiation minutes</li> </ul>	<b>1 year after terms of contract have expired</b>
<b>14.7</b>	Entries on Land Charges Register	<b>Duration of Charge</b>
<b>14.8</b>	Copy's of official certificate of search re local land charges	<b>Permanent (or min 20 years)</b>
<b>14.9</b>	Leases/counterpart leases Deeds of variation Licences to assign	<b>Duration of lease plus 12 years</b>
<b>15.0</b>	Agreements under seal (except building/engineering work contracts)	<b>Duration of agreement plus 12 years</b>
<b>15.1</b>	Building/engineering work contracts	<b>15 years from performance of contract</b>

### General Guidelines

<b>Ref No.</b>	<b>Documentation</b>	<b>Retention Period</b>
<b>15.2</b>	Statutory Registers	<b>Permanent</b>
<b>15.3</b>	Strategy Documents	<b>Permanent</b>
<b>15.4</b>	Back ground Documents for reports, meetings etc	<b>6 years from date of meeting/matter completed</b>
<b>15.5</b>	Documentation relating to any matter where there is potential for dispute/litigation and the documentation concerned could be relevant to resolving or defending any action	<b>6 years from date matter completed</b>
<b>15.6</b>	Documentation where realistically no scope for dispute or litigation	<b>12 months from end of financial year matter completed</b>
<b>15.7</b>	Any documents relevant to a complaint made either to council or Ombudsman	<b>Until complaint resolved/withdrawn then review.</b>

**Appendix 2 Flowchart Retention Disposal Protocol**



