

## STRATEGY / POLICY FRONT COVER



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

**Date last updated: March 2019**

**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

Data Protection Act .... Policy

### **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 member responsible for over viewing progress of the Strategy / Policy (if applicable):**

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

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

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

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



# **CASTLE POINT BOROUGH COUNCIL**

## **Document Retention Policy**

Version V 2019  
March 2019

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- Committee and Electoral Registration
- Corporate Documents
- Housing and Housing / Council Tax Finance Personnel
- Human Resources
  
- Planning Building Control and Land Charges
- Financial Services and Audit
- Environmental Health including Health and Safety
- Leisure
- Licensing
- Legal
- Revenues and Benefits
- Open Spaces and Street Scene
- Contracts and Tenders
- Complaints

- Staff Records
- Electronic Records
- General

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## **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 1988 and the Freedom of Information Act 2000 (“FOIA”) 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 FOIA it will be essential to ensure that records are up to date and easily accessible and identifiable to ensure this deadline is met.

## **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.

### **Freedom of Information, Data Protection and General Data Protection Regulations**

It is illegal to destroy information which is due for destruction but has been requested under the Freedom of Information, Environmental Information Regulations or Data Protection Act. Such information should be kept until all deadlines for appeal procedures have been met.

The Data Protection Act also specifies that information should only be kept for as long as it is necessary. There is no specific guidance on the meaning of “necessary”, but it should be seen as a timescale that is reasonable to ensure the purpose for which the information is used for is met and any legal obligations on retention are accommodated. Any decision should be evidenced and have a rational and reasonable backing. “Just in case” is not usually a reasonable excuse for keeping personal information which should be deleted.

The Act also demands that information is accurate and the longer information is kept and not updated, then the greater the chance that we have inaccurate data.

The General Data Protection Regulations require us to have and show we follow procedures which include document retention.

### **Standard Operating Procedure**

Some records do not need to be kept at all. This section defines types of records that may be routinely destroyed in the normal course of business.

This applies to information that is duplicated, unimportant or of short-term facilitative value. Unimportant records or information include:

- ‘With Compliments’ slips
- Catalogue and trade journals
- Telephone message slips
- Non-acceptance of invitations
- Trivial emails, or notes not related to Castle Point Borough Council business
- Requests for stock information such as plans, advertising materials or application forms.
- Out-of-date distribution lists

- Some working papers that lead to a final report

Where the above contains personal information about an identifiable individual, this should still be shredded to avoid it falling into the wrong hands. Such items should not be thrown in the bin.

Duplicated and superseded information such as stationery, manuals, drafts, forms, and reference copies of annual reports should also be destroyed. Electronic copies of documents or faxes where a hard copy has been printed and filed are also covered.

## **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.

<b>TYPE OF CLAIM</b>	<b>TIME LIMIT FOR LEGAL ACTION TO HAVE BEEN BOUGHT</b>
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.

### **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 Service will be expected to be proactive in carrying out or instigating audits of existing documentation that may be suitable for disposal. Records not marked for permanent retention should subsequently be checked on a regular basis and destroyed as appropriate, at least annually.

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

### **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.

### **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**

### **Department Specific Documents**

- Committee and Electoral Registration
- Corporate Documents
- Housing and Housing / Council Tax Finance Personnel
- Human Resources
- Planning Building Control and Land Charges
- Financial Services and Audit
- Environmental Health including Health and Safety
- Leisure
- Licensing
- Legal
- Revenues and Benefits
- Open Spaces and Street Scene

### **Documents held across all Departments**

- Contracts and Tenders
- Complaints
- Staff Records
- Electronic Records
- General

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

**Committee and Electoral Registration**

<b>Documentation</b>	<b>Minimum Retention Period</b>
Electoral register	<b>Permanent</b>
Local Election Only	<b>1 year from date of election</b>
Ballot Papers, Consolidated returns, <i>Council and Committee meetings</i>	<b>6 years Agenda and Reports</b>
Agendas, reports, minutes	<b>Permanent Minutes</b>
Minute taking draft notes/audio tapes	<b>Destroy after date of confirmation of minutes</b>
Records of disclosure by members, under old system and to monitoring officer	<b>Permanent</b>
<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>
<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>
Honors Submission Nomination form, covering documentation, letters of support	<b>1 year after last action</b>
Leader of Opposition and Leader of Council papers	<b>3 years after last action</b>

### Corporate Documents

<b>Documentation</b>	<b>Retention Period</b>
Corporate Plans Strategy Plans Business Plans Annual Reports	<b>Permanent</b>
Strategic management team minutes	<b>Permanent</b>
Documents used in process of preparing business for cross departmental consideration, records of discussion debate and resolutions	<b>3 years from closure</b>
Documents used in process of preparing business for unit/team consideration, records of discussion debate and resolutions	<b>3 years from closure</b>
Statutory Returns Preparing information to be passed on to central government	<b>7 years from closure</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>
Monitoring and reviewing strategic plans, policies and assessing compliance with guidelines	<b>5 years from closure</b>
<i>Public Consultation</i> Staff and public consultation of significant policies of the council	<b>5 years from closure</b>
<i>Public Consultation</i> Staff and public consultation of minor policies of the council	<b>1 year from closure</b>
<i>Enquiries and Complaints</i> Indexes and Registers of Complaints in summary form	<b>Permanent</b>
<i>Enquiries and Complaints</i> Reports, returns and correspondence for detailed responses	<b>6 years after administrative use concluded</b>
<i>Enquiries and Complaints</i> Routine responses	<b>2 years after administrative use concluded</b>
<i>Quality and Performance Management</i>	

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

### Housing/Housing Options

<b>Service Area</b>	<b>Documentation</b>	<b>Retention Period</b>
Council Housing Register	Application Forms	7 years after closure
	Supporting Papers	7 years after closure
	Correspondence	7 years after closure
	Notes re: decision	7 years after closure
	Mutual Exchanges	7 years after closure
	Reviews/Appeals	7 years after closure
Tenancy Management		
	Tenancy Agreement/Permissions Letter	Forever
	Supporting Documentation / Lettings Pack	Commencement of new tenant moving in
	Correspondence/old HR applications	Commencement of new tenant moving in
	file notes, reviews including tenancy audits or decisions	Commencement of new tenant moving in
	Documentation/checklist	Commencement of new tenant moving in
	photos	Commencement of new tenant moving in
	Tenant and Household Details	Commencement of new tenant moving in
	Bank statement or card/Driving licence/NI proof	at first tenancy review within first month
	void works order form	Commencement of new tenant moving in
Notice to Quit	last tenant but one	
Homeless/Housing Advice		
	Homeless Case Files	7 years after decision last action
	Supporting Papers	7 years after decision last action
	Correspondence	7 years after decision last action
	Notes re: decision	7 years after decision last action
	Reviews/Appeals	7 years after decision last action

Sheltered Housing		
	Case Files	2 years following tenancy termination
	Supporting Papers	2 years following tenancy termination
	Correspondence	2 years following tenancy termination
	Notes re: decision	2 years following tenancy termination
	Review Documentation	2 years following tenancy termination
Repairs		
	Programmed/Cyclical Works	7 years following end of contract
	Responsive Repairs	7 years following end of contract
	DDA Applications	1 year following works complete
	Correspondence including Recharges	once recharge has been settled
	Supporting Documentation	when tenancy ends
	Asbestos Reports	forever
	Photos of property	forever
Housing General	Insurance Claim /Documentation	7 years after all obligations are concluded (or until the claimant is 25 whichever is greater following conclusion of the incident
Sale of Council Houses	Right to Buy <ul style="list-style-type: none"> <li>• Sale documents</li> <li>• Agreement concerning sales</li> </ul>	15 years after sale of house
	Home Improvement Grants <ul style="list-style-type: none"> <li>• Agreement to pay loan</li> <li>• Details of payments</li> <li>• Correspondence relating to loan</li> </ul>	6 years after last payment with grant under £50,000 12 years with grant over £50,000
	Plans of new properties	Retain for life of property + 12 years
	Sale of Property Legal documents, particulars of sale, board of survey, tender documents,	15 years after all obligations/entitlements are concluded

	conditions of contracts	
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## Human Resources

<b>Documentation</b>	<b>Retention Period</b>
Recruitment Records Non Short listed Applicants Applications, internal notes reports, CV's.	<b>6 months from date of application</b>
Recruitment Records Short listed Applicants not appointed Applications, interview reports, CV's.	<b>6 months from date advised of the appointment decision</b>
Application Form of Appointed person	<b>6 years from end of employment</b>
Employment records* <ul style="list-style-type: none"> <li>• Offer Letter</li> <li>• Employment Contract</li> <li>• Details of Assigned duties</li> <li>• Medical Clearance</li> <li>• Medical Examinations/Reports</li> <li>• PPDPs</li> <li>• Probation reports</li> <li>• Proof of Educational Qualifications</li> <li>• Secrecy Undertakings</li> <li>• Variation to Contract</li> <li>• Notice Letters</li> </ul>	<b>6 years from end of employment</b>
Records relating to staff working with children*	<b>25 years from end of employment</b>
All other records*	<b>6 years from end of employment</b>
Training History	<b>6 years from end of employment</b>
Health Information exposure to asbestos	<b>40 years from date of exposure</b>
Copies of Decrees absolute Copies of Marriage Certificates	<b>6 years from end of employment</b>
Pension Estimates and awards	<b>6 years from end of employment</b>
Statutory Maternity Pay	<b>6 years from end of employment</b>
Staff Lists & Leavers Lists	<b>Permanent</b>

**\* See section on Health & Safety for additional time scales if employees affected by Health and Safety Issues**

**Facilities Management (incl. Emergency Planning)**

<b>Documentation</b>	<b>Retention Period</b>
Corporate Asset Management Plan Corporate buildings database – (GGP)	<b>Permanent</b>
Corporate reports on property matters	<b>Permanent</b>
Plans – land flooding and drainage	<b>Permanent</b>
Plans – footpaths, bridleways, highways, parks & woods	<b>Permanent</b>
Plans - foul, sewer, ditches & dykes	<b>Permanent</b>
Plans of existing buildings	<b>Permanent</b>
Land terrier maps	<b>Permanent</b>
Asbestos records	<b>Permanent</b>
Records of statutory inspections and servicing	<b>Retain for life of property + 7 years</b>
Plans of new corporate properties	<b>Retain for life of property + 12 years</b>
Corporate Properties refurbishment/development/ planned maintenance specifications, plans, installation manuals, certificates of approval	<b>Retain for life of Property + 7 years</b>
Corporate Properties work orders, tender documents, conditions of contract	<b>7 years after the conclusion of the transaction that the record supports.</b>
Corporate properties reactive repairs records	<b>7 years after the conclusion of the transaction that the record supports.</b>
Corporate properties cleaning records	<b>7 years after the conclusion of the transaction that the record supports</b>
Contracts & SLAs - documentation relating to the procurement of goods, works or services	<b>7 years after the conclusion of the transaction that the record supports.</b>

Corporate Emergency Response Plan Specific Emergency Response plans	<b>Permanent</b>
Emergency Planning Records of results from testing emergency response plan	<b>10 years after closure</b>
Emergency Planning Documentation relating to response to major incidents in the local community	<b>Permanent</b>
Emergency Planning Documentation relating to response in minor incidents in the local community	<b>7 years after closure of incident</b>
Business Continuity Corporate Business Continuity Plan Corporate Business Impact Assessments	<b>3 years following expiry date of documents</b>
Business Continuity Records of results from testing the corporate BC plan	<b>Permanent</b>
Business Continuity Documentation relating to response to major BC incidents	<b>Permanent</b>
Business Continuity Documentation relating to response to minor BC incidents	<b>3 years after closure of incident</b>

**Planning Building Control and Land Charges**

<b>Documentation</b>	<b>Retention Period</b>
<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>
<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>

Planning Scheme controls and amendments <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>
Planning Scheme controls and amendments <ul style="list-style-type: none"> <li>• Consultation – waste planning and mineral planning applications</li> <li>• Objections</li> <li>• Inquiries</li> <li>• Archaeological advice/conditions</li> </ul>	<b>15 years after decision</b>
Tree Preservation Orders <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>	<b>For as long as T.P.O. is in force</b>  <b>Permanent</b>
Planning Applications <ul style="list-style-type: none"> <li>• Part I Register of applications for planning permission</li> </ul>	<b>Until Application disposed of</b>
Planning Applications <ul style="list-style-type: none"> <li>• Part II Register of applications for planning permission.</li> </ul> Register must include a copy of application, drawings, decision of council/secretary of state Subsequent approval Planning obligation or s.278 agreement	<b>Permanent</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>
<p>Planning Application</p> <ul style="list-style-type: none"> <li>• Planning application files (excludes certificate of lawfulness applications)</li> </ul>	
<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>
<p>Building Control</p> <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>
<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>

### Financial Services and Audit

Documentation	Retention Period
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>
<i>Accounts</i> <ul style="list-style-type: none"> <li>• Consolidated monthly and quarterly reports and reconciliations</li> <li>• Working Papers for the above</li> </ul>	<b>Destroy when administrative use is concluded</b>
System documents and reports for all audits (i.e. Terms of Reference, Control Matrix, Final Report)	<b>After 6 years to establish if it is still relevant. If yes, continue to review every 2 years, if no destroy.</b>

<i>Audit Planning and Management</i> <ul style="list-style-type: none"> <li>• Needs Assessments</li> <li>• Risk Assessments</li> <li>• Resource Schedules</li> <li>• Audit Plans</li> <li>• Auditors' time recording records</li> <li>• Performance information about the delivery of audits</li> <li>• Team performance indicators</li> <li>• Independent quality reviews of files</li> </ul>	<b>Current year plus three previous years</b>
<i>Benchmarking</i> <ul style="list-style-type: none"> <li>• CIPFA and other benchmarking data</li> </ul>	<b>Current year plus three previous years</b>
<i>Financial Systems Audits</i> <ul style="list-style-type: none"> <li>• Audit files containing working papers except system documents and reports</li> </ul>	<b>Current year plus six previous years</b>
<i>Non-Financial Systems Audits (except where criminal proceedings are pursued)</i> <ul style="list-style-type: none"> <li>• Audit files containing working papers except system documents and reports</li> </ul>	<b>Current year plus three previous years</b>
<i>Annual Performance Assessments</i> <ul style="list-style-type: none"> <li>• An assessment of performance against CIPFA good practice guidance</li> </ul>	<b>Current year plus three previous years</b>
Estimates Supporting info, calculations, statistics	<b>3 years after the end of the financial year to which they relate</b>
Orders for Payment	<b>Permanent</b>
Debtors records	<b>18 months after the end of the financial year to which they are paid or written off</b> <b>6 years minimum in respect of any unpaid account which has not been written off</b>
Taxation Records	<b>5 years after the end of the financial year which records were created</b>
VAT Records	<b>6 years</b>
<i>Receipt, Expenditure and Write 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>
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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>
Budgets Annual Budget	<b>Permanent</b>
Budgets Draft budgets Departmental budgets Draft estimates	<b>2 years after annual budget adopted</b>
Loans Loan Register	<b>Permanent</b>
Loans Loan Files	<b>7 years after loan been repaid</b>
Local Authorities Assets <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>	<b>Permanent</b>
Local Authorities Assets <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>
Local Authorities Assets <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>
<i>Local Authorities Assets</i>	

<p><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>	<p><b>6 years if under £50,000 or 12 years if over £50,000 after all obligations/entitlements are concluded.</b></p>
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**Environmental Health including Health and Safety**

<b>Documentation</b>	<b>Retention Period</b>
Equipment Inspection Records	<b>6 years from the destruction of the equipment</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>
Asbestos monitoring of areas where employees and persons are likely to be in contact.	<b>40 years from last action</b>
Risk Assessments	<b>3 years from last assessment</b>
Accident Books (accidents relate to adults)	<b>3 years from closure</b>
Accident Books (accidents relate to children)	<b>25 years from closure</b>
Applications for animal registration	<b>2 years after registration or entitlement lapses</b>
Animal movement licenses	<b>2 years after registration or entitlement lapses</b>
Application for release of animals impounded	<b>2 years after registration or entitlement lapses</b>
Disabled Facilities Grant Applications	
Food Hygiene Inspection Reports	<b>6 years</b>
Complaints	
Notices	
Prosecution Files	
Potentially Violent Persons (PVP) Active Register	<b>12 months after last review then transferred to Historic Register</b>
Potentially Violent Persons (PVP) Historical Register	<b>Maximum of 6 years since on the register</b>

## Leisure

<b>Documentation</b>	<b>Retention Period</b>
Leisure Centre Membership subscriptions	<b>Destroyed 1 month after subscription is cancelled</b>  <i>Please note our ability to do so is not possible without the upgrade of our Gladstone system</i>
STA Swim Academy subscriptions	<b>Destroyed 1 month after subscription is cancelled</b>  <i>Please note our ability to do so is not possible without the upgrade of our Gladstone system</i>
STA Swim School applications	<b>Destroyed 1 month after booking is cancelled</b>
Adult and children activities	<b>Destroyed 1 month after booking is cancelled</b>
Direct debits forms and payment information	<b>Paper base information destroyed 1 month after direct debit subscription starts</b> <b>Electronic information destroyed 1 month after subscription is cancelled</b>
First Aid Reports and Documentation	<b>Paper base document destroyed immediately after information is uploaded to the Councils recording system. Electronic copies destroyed 3 years after incident</b>
Personal training	<b>Destroyed 1 month after booking is cancelled</b>
Club Bookings	<b>Destroyed 1 month after booking is cancelled</b>
Hall Bookings	<b>Destroyed 1 month after booking is cancelled</b>
Customer comments, compliments and complaints	<b><i>See Complaint Section</i></b>
GP Referral information	<b>Destroyed 1 month after referral ends</b>
Equipment and building inspection records	<b>6 years from last assessment</b>
Staff training records	<b>6 years after end of employment</b>
Risk assessments	<b>6 years from last assessment</b>
External customer training records for courses held	<b><i>Destroyed within 1 month after qualification expires – DB to check with external bodies / SW to discuss with legal services as information is provided to third parties i.e. Royal Life Saving</i></b>

***Society etc.... to register successful applicants***

## Licensing

<b>Documentation</b>	<b>Retention Period</b>
Application for registration of a business premises	<b>2 years after registration or entitlement lapses</b>
Certificates of registration of Door supervisors, Beauty therapists, Taxi drivers	<b>2 years after registration or entitlement lapses</b>
Gaming Licenses	<b>2 years after registration or entitlement lapses</b>
Fire Certification	<b>2 years after registration or entitlement lapses</b>
Disabled Parking permits Blue Badge applications	<b>2 years after registration or entitlement lapses</b>
Registration to sell poison	<b>2 years after registration or entitlement lapses</b>
Licensing Diesel Licences Petroleum Licences Health and Safety Licensing Hazardous substances Contaminated land register/pollution	<b>60 years after registration or entitlement lapses</b>
<i>Notification</i> Notices relevant to breaches of licence conditions	<b>2 years after matter concluded</b>
<i>Monitoring/Investigating/inspections</i>	<b>7 years after last action</b>
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
	Documentation regarding legal advice	<b>6 years from date wholly completed</b>
	Litigation Files	<b>6 years from completion of litigation</b>
	Prosecution files	<b>6 years from date of conviction</b>
	Conveyancing files	<b>12 years after last action</b>
	Contracts Expressions of Interest	<b>2 years after contract let or not proceeded with</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>
	Contracts Signed Contract	<b>6 years after terms of contract has expired 12 years after contract has expired if contract under seal</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>
	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>
	Tenders <ul style="list-style-type: none"> <li>• Opening notices</li> <li>• Tender envelopes</li> </ul>	<b>1 year after start of contract</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>
	Unsuccessful Tenders <ul style="list-style-type: none"> <li>• Tender Documents</li> <li>• Quotations</li> </ul>	1 year after start of contract
	<i>Post Tender</i> <ul style="list-style-type: none"> <li>• Clarification of Contract</li> <li>• Post tender negotiation minutes</li> </ul>	1 year after terms of contract have expired
	Entries on Land Charges Register	Duration of Charge
	Copy's of official certificate of search re local land charges	Permanent (or min 20 years)
	Leases/counterpart leases Deeds of variation Licences to assign	Duration of lease plus 12 years
	Agreements under seal (except building/engineering work contracts)	Duration of agreement plus 12 years
	Building/engineering work contracts	15 years from performance of contract

Revenues and Benefits

Documentation	Retention Period
Housing Benefit/Council Tax Benefit/Local Council Tax Support <ul style="list-style-type: none"> <li>• Completed claim form</li> <li>• Supporting evidence</li> </ul>	<b>All Benefit records held electronically on Civica OPENRevenues (Document Image System) since 2005</b>
Council Tax and Business Rates <ul style="list-style-type: none"> <li>• Valuation and Rating Lists (schedule updates)</li> <li>• Correspondence (includes emails imported into Civica Document Image System)</li> <li>• Write offs</li> <li>• System Reports</li> <li>• Emails (Mailboxes)</li> </ul>	<b>All Local Taxation records held electronically on Civica OPENRevenues (Document Image system) since: 1993 for Council Tax 2005 for Business Rates</b>
Magistrates' Court Lists – Council Tax and Business Rates <ul style="list-style-type: none"> <li>• Signed copies of Liability Orders for Local Taxation</li> <li>• Charging Order Copies</li> </ul>	<b>Paper records held permanently.</b>
Fraud cases (Housing Benefit)	<b>Paper records destroyed after seven years</b>
Accounts Receivable - <ul style="list-style-type: none"> <li>• Record Liability, Payment and Correspondence in administration of Sundry Debtors - accounts receivable (invoicing, collection, write offs and enforcement)</li> </ul>	<b>Records held on main financial system (eFinancials) and paper records). Paper records destroyed after six years</b>

**Street Scene**

<b>Documentation</b>	<b>Retention Period</b>
DVLA Driver Information	<b>5 Years – hard copies shredded / electronic copies deleted</b>
Complaints re fly tipping etc.. including educational letters	<b>6 years following resolution of complaint or prosecution</b>
Prosecution Files	<b>6 Years – hard copies shredded / electronic copies deleted</b>

### Contracts and Tenders

<b>Documentation</b>	<b>Retention Period</b>
Contracts Development and specification of a contract	<b>6 years after terms of contract has expired</b> <b>12 years after contract has expired if contract under seal</b>
Contracts Signed Contract	<b>6 years after terms of contract has expired</b> <b>12 years after contract has expired if contract under seal</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> </ul> Disputes	<b>6 years after terms of contract has expired</b> <b>12 years after contract has expired if contract under seal</b>
Contracts <ul style="list-style-type: none"> <li>• <i>Service level agreements</i></li> <li>• Compliance reports</li> </ul> Performance reports	<b>2 years after the terms of the contract have expired</b>
Tenders <ul style="list-style-type: none"> <li>• Opening notices</li> </ul> Tender envelopes	<b>1 year after start of contract</b>
Successful Tenders <ul style="list-style-type: none"> <li>• Evaluation Criteria</li> <li>• Tender Documents</li> </ul> Quotations	<b>6 years after terms of contract has expired</b> <b>12 years after contract has expired if contract under seal</b>
Unsuccessful Tenders <ul style="list-style-type: none"> <li>• Tender Documents</li> </ul> Quotations	1 year after start of contract
<i>Post Tender</i> <ul style="list-style-type: none"> <li>• Clarification of Contract</li> </ul> Post tender negotiation minutes	1 year after terms of contract have expired

Complaints/Requests for Information/Surveys

<b>Documentation</b>	<b>Retention Period</b>
<i>Public Consultation</i> Staff and public consultation of significant policies of the council	<b>5 years from closure</b>
<i>Public Consultation</i> Staff and public consultation of minor policies of the council	<b>1 year from closure</b>
<i>Enquiries and Complaints</i> Indexes and Registers of Complaints in summary form	<b>Permanent</b>
<i>Enquiries and Complaints</i> Reports, returns and correspondence for detailed responses	<b>6 years after administrative use concluded</b>
<i>Enquiries and Complaints</i> Routine responses	<b>2 years after administrative use concluded</b>
<i>FOI /EIR Requests</i>	<b>6 years from response or any appeal</b>
<i>Survey Responses</i>	<b>2 years after survey concluded and results published/no longer required</b>

Staff Personnel Records

<b>Documentation</b>	<b>Retention Period</b>
Employment records* <ul style="list-style-type: none"> <li>• Offer Letter</li> <li>• Employment Contract</li> <li>• Details of Assigned duties</li> <li>• Medical Clearance</li> <li>• Medical Examinations/Reports</li> <li>• PPDPs</li> <li>• Probation reports</li> <li>• Proof of Educational Qualifications</li> <li>• Secrecy Undertakings</li> <li>• Variation to Contract</li> <li>• Notice Letters</li> </ul>	<b>6 years from end of employment</b>
Records relating to staff working with children*	<b>25 years from end of employment</b>
All other records*	<b>6 years from end of employment</b>
Training History	<b>6 years from end of employment</b>
Health Information exposure to asbestos	<b>40 years from date of exposure</b>

ELECTRONIC RECORDS

<b>Documentation</b>	<b>Anticipated Retention Period</b>
Emails	Deleted by staff in line with IT Policy. All documents not used for over 7 years old and no longer required to be deleted
Documents on H Drive	Reviewed Annually by Staff – all documents not used for over 7 years old and no longer required to be deleted
Documents on S Drive	Reviewed Annually by Managers – all documents not

	used for over 7 years old and no longer required to be deleted
Housing Tenant Records on Ohms	7 years after no longer tenant and no debt remaining – all sensitive information deleted as far as possible. Name, Address and Date of tenancy retained permanently. All other information archived/deleted as far as IT system allows.
Housing Repairs records on OHMS	All personal data removed after 7 years.
Housing Abrisas	7 years from closure of account or last decision made. All information will be either archived or deleted as far as IT system allows.
Electronic Records	all documents not used for over 7 years old and no longer required to be deleted or archived as far as software allows with access to retrieve from any archive limited to minimal members of staff

### General Guidelines

<b>Documentation</b>	<b>Retention Period</b>
Statutory Registers	<b>Permanent</b>
Strategy Documents	<b>Permanent</b>
Back ground Documents for reports, meetings etc	<b>6 years from date of meeting/matter completed</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>
Documentation where realistically no scope for dispute or litigation	<b>12 months from end of financial year matter completed</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**



