

# Corporate Policy on Document Retention and Document Management

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# Corporate Policy on Document Retention and Document Management

## 1. Introduction:

1.1 In the course of carrying out Derbyshire Dales District Council's various functions and activities, the Council collects information from individuals and external organisations and generates a wide range of data/information which is recorded. These records can take many forms; for example:

- Letters received from third parties
- Copy letters which have been sent out
- File attendance notes
- Invoices
- Completed application forms
- Plans/drawings
- Registers
- Tenders and Contracts
- E-mail Communications
- Surveys
- Performance information e.g. beneficiary data
- Photographs
- Tape recordings

1.2 Many of the above can be retained as 'hard' paper copies or in electronic form. Retention of specific documents may be necessary to:

- Fulfil statutory or other regulatory requirements
- Evidence events/agreements in a dispute
- Meet operational needs
- Ensure the preservation of documents of historic value

1.3 The untimely destruction of documents could cause the Council:

- Difficulties in defending litigious claims
- Operational problems
- To breach the Freedom of Information or Data Protection Acts.
- To suffer embarrassment

1.4 The effective management of records of all formats depends as much on their efficient disposal as well as their long term preservation. As a Local Authority we must be consistent in the way we handle and dispose of our information. These guidelines will assist the Council in meeting local needs whilst providing a consistent approach to record keeping across Government.

## 2. The Retention/Disposal Policy

2.1 Any decision whether to retain or dispose of a document should be taken in accordance with this retention/disposal policy.

2.2 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 the document. Such reviews need not necessarily be detailed or time consuming.

2.3 In the event that a decision is taken to dispose of a particular document or a set of documents, then consideration should be given to the method of disposal.

## 3. Roles and Responsibilities

3.1 Responsible Officers may delegate the operational aspects of this function to one or more senior officers within the Department. However in doing so they should ensure that such Officer is fully conversant with the Policy and is also familiar with the operational requirements of the Department in relation to document retention/disposal. Responsible Officers are expected to be proactive in carrying out or instigating audits of existing documentation that may be suitable for disposal.

## Corporate Policy on Document Retention and Document Management

### 4. Disposal

A record of destroyed records should be maintained. Enough detail should be recorded to identify which records have been destroyed on a certain date. An example Disposal Certificate and guidance is appended as Appendix 1.

4.1 Disposal can be achieved by a range of processes:

- Confidential Waste
- Physical destruction on site (e.g. Shredding, Deletion – where computer files are concerned)
- Migration of documents to an authorised contractor for confidential waste disposal

4.2 Responsible Officers must take into account that under no circumstances should paper documents containing personal data be simply binned or deposited into refuse bins. To do so could result in unauthorised disclosure of information to third parties and render the Council liable to prosecution or other enforcement action under the Data Protection Act. Such documents should be destroyed on site (e.g. shredding) or placed into the locked Confidential Waste refuse bins provided which can be located in the photocopier rooms. When the bins are full, the Caretaker will remove the confidential waste bags within the bin and place them into the locked external green container for collection by DDDC's authorised contractor.

4.3 Officers should only dispose of Confidential Waste in the secure refuse bins. Non-confidential documents can be disposed of within the blue recyclable bins in each office. Confidential Waste is waste containing personally identifiable information or waste which is commercially sensitive. If Officers are unsure of whether waste is confidential they should consult the Legal Department.

### 5. The Data Protection Act:

Responsible Officers need to be aware that under the Data Protection Act & the General Data Protection Regulations, personal data processed for any lawful purpose must not be kept for any longer than is necessary for that purpose. This is a matter for reasonable judgement and common sense as to how long personal data should be retained.

### 6. Standard Operating Procedure:

6.1 There are some records that do not need to be kept at all; the Records Management Society has defined types of records which staff may routinely destroy in the normal course of business.

This usually relates to information that is duplicated, unimportant or only of short-term facilitative value.

Unimportant records include:

- Compliment slips
- Catalogues and trade journals
- Telephone message slips
- Non-acceptance of invitations
- Requests for stock information such as maps, plans or advertising material
- Out of date distribution lists
- Duplicate copies

6.2 Duplicated and superseded material such as stationery, manuals, drafts, forms, address books and reference copies of annual reports may be destroyed as being unimportant.

## Corporate Policy on Document Retention and Document Management

6.3 This does not apply to records or information that could be used as evidence. If you are in any doubt please consult the Legal Department.

### 7. **Format of Records – Hard copy or Electronic:**

7.1 Record retention policies were primarily created to define retention periods for paper records, however these record retention guidelines are relevant to all records whether they are electronic, paper or records which have been transferred to another format such as microfiche.

### 8. **Reviewing the Schedule:**

These guidelines prescribe minimum and permanent retention periods. The guidance will be reviewed at regular intervals (at least every three years).

# Corporate Policy on Document Retention and Document Management

## KEY CONSIDERATIONS:

### 1. Is the retention to fulfil statutory or other regulatory requirements?

There is very little specific legislation that stipulates mandatory retention periods for documents in Local Government. The pieces of legislation that do, either directly or indirectly impose minimum retention periods are as follows:

- Tax Legislation: Minimum retention period for certain financial records are imposed by statutes such as the VAT Act 1994 and the Taxes Management Act 1970.
- Statutory Register: Various Local Government Statutes required to be kept of certain events, notifications or transactions.
- Audit Commission Act 1988 – this provides auditors with a right of access to every document relating to the Council that appears necessary for the purpose of carrying out the auditor's function under the Act.
- The Local Government Act (Section 225). Any document deposited with 'the proper officer' of the Council in accordance with Statute should be retained permanently.
- Part VA of the Local Government Act 1972 – governs public access to certain documents relating to Council and Committee meetings

### 2. Is retention required to evidence events in a case of dispute?

Where a dispute arises or litigation has been commenced it is important that the Council has access to all correspondence and other documents that is relevant to the matter. Without this information there is a danger that the Council's position will be compromised and a possibility that a claim might succeed.

The Limitation Act 1980 specifies time limits for commencing

litigation. The starting point is that the retention period is the length of time that has to elapse before a claim is barred plus an additional 3 months to allow to service of any claim. The main time limits that are directly relevant are:

- Claims founded on simple contract (other than personal injury) cannot be brought after the expiration of 6 years from the date on which the cause of action occurred.
- Compensation claims for personal injury are barred on expiry of 3 years from the date on which:
  - a) the cause of action occurred
  - b) the injured person first had knowledge or the injury, its cause and the identity of the responsible person.
- Compensation Claims for personal injury in respect of a minor are barred on expiry of 3 years from the date of their 18<sup>th</sup> birthday.

### 3. Is retention required to meet the operational needs of the department?

In some case retention may be desirable when though no minimum period applies. Responsible Officers should be open to the danger of discarding documents or records that might be useful for future reference purposes (e.g. training) as precedence or performance management. A professional judgement must be made as to the usefulness of a document.

### 4. Is retention required because the document or record is of historical interest or intrinsic value?

In most cases this consideration will not be applicable. However, it is possible that some documents currently in Council Storage will be of historic interest or have monetary value. Appropriate enquiries should always be made before disposal with relevant departments such as the Derbyshire Records Office.

## Corporate Policy on Document Retention and Document Management

### DEMOCRATIC PROCESS:

| Functional Description  | Retention Action                                      | Examples of Records   | Format                  | Notes           | Responsible Officer         |
|---|---|---|-------------------------|-----------------|-----------------------------|
| <b><u>Council and Committee Meetings</u></b>  |   |   |                         |                 |                             |
| The process of preparing business for Council consideration and making the record of discussion, debate and resolutions   | Permanent   | <ul style="list-style-type: none"> <li>• Council Minutes Agendas Indexes</li> <li>• Committee Minutes</li> </ul>  | Electronic or Hard Copy |                 | Democratic Services Officer |
|   | Destroy after 6 years                                 | <ul style="list-style-type: none"> <li>• Business papers</li> <li>• Council Notice Papers and Proceedings</li> </ul>  |                         |                 |                             |
| Minute Taking   | Destroy after the date of confirmation of the minutes | <ul style="list-style-type: none"> <li>• Draft/Rough Minutes</li> <li>• Audio Tapes</li> </ul>  | Hard Copy               |                 | Democratic Services Officer |
| <b><u>Partnership, Agency and External Meetings</u></b>   |   |   |                         |                 |                             |
| The Process of preparing business for partnership and agency consideration and making the record of discussion, debate and resolution where the Local Authority owns the record | Permanent   | <ul style="list-style-type: none"> <li>• Documents establishing the committee</li> <li>• Minutes</li> <li>• Agendas</li> </ul>  | Hard Copy               | Common Practice | Democratic Services Officer |
|   | Destroy after 6 years                                 | <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> |                         |                 |                             |



## Corporate Policy on Document Retention and Document Management

| Functional Description  | Retention Action                        | Examples of Records  | Format    | Notes           | Responsible Officer         |
|---|---|--|-----------|-----------------|-----------------------------|
| The Process of preparing for business for External Committees consideration and making the record of discussion, debate and resolution, where the Local authority does not own the record | Destroy 3 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 briefings and discussion papers</li> </ul> | Hard Copy | Common practice | Democratic Services Officer |
| <b><u>Honours and Submissions</u></b>   |   |  |           |                 |                             |
| The process of preparing of honours submission  | Destroy after 5 years after last action | <ul style="list-style-type: none"> <li>• Honours nomination form</li> <li>• Covering documentation</li> <li>• Letters of support</li> <li>• Referral for comment from Lord Lieutenant</li> </ul>               | Hard Copy | Common Practice | Democratic Services Officer |
| <b><u>Political Parties Papers</u></b>  | Destroy 3 years after last action       | <ul style="list-style-type: none"> <li>• Leader of opposition papers</li> <li>• Leader of Council Papers</li> </ul>  | Hard Copy | Common Practice | Democratic Services Officer |

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### MANAGEMENT AND ADMINISTRATION:

| Functional Description  | Retention Action             | Examples of Records  | Format                  | Notes           | Responsible Officer        |
|---|------------------------------|--|-------------------------|-----------------|----------------------------|
| <b><u>Corporate Planning and Reporting</u></b>  |                              |  |                         |                 |                            |
| The corporate planning and reporting activities of Local Authorities  | Permanent                    | <ul style="list-style-type: none"> <li>• Corporate Plans</li> <li>• Strategies and Action Plans</li> <li>• Annual Reports</li> <li>• Emergency Plan</li> </ul> | Hard Copy               | Common Practice | Corporate Director         |
| The process of preparing business for strategic consideration and making the record of discussion, debate and resolutions | Permanent                    | <ul style="list-style-type: none"> <li>• Strategic management team minutes</li> </ul>  | Hard Copy               | Common Practice | Relevant Head of Service   |
| <b><u>Statutory Returns</u></b>   |                              |  |                         |                 |                            |
| The process of preparing information to be passed on to Central Government as part of statutory requirements              | Destroy 7 years from closure | <ul style="list-style-type: none"> <li>• Reports to Central Government</li> </ul>  | Electronic or Hard Copy | Common Practice | Head of Corporate Services |

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| Functional Description   | Retention Action             | Examples of Records   | Format                  | Notes           | Responsible Officer      |
|--|------------------------------|---|-------------------------|-----------------|--------------------------|
| <b><u>Policy, Procedures, Strategy and Structure</u></b>   |                              |   |                         |                 |                          |
| Activities that develop policies, procedures, strategies and structures for Local Authorities                                  | Permanent                    | <ul style="list-style-type: none"> <li>• Policy, Procedure, precedent, Instructions</li> <li>• Asset Management Plan</li> <li>• Community Strategy</li> <li>• Community Safety Plan</li> <li>• Completed Questionnaires</li> <li>• Focus Group Notes</li> <li>• Partner responses to Consultants</li> </ul> | Electronic or Hard Copy | Common Practice | Relevant Head of Service |
| The process of monitoring and reviewing strategic plans, policies or procedures to assess their compliance with the guidelines | Destroy 5 years from closure | <ul style="list-style-type: none"> <li>• Working Group Meetings</li> <li>• Compliance Reports</li> </ul>  |                         | Common Practice | Relevant Head of Service |
| <b><u>Public Consultation</u></b>  |                              |   |                         |                 |                          |
| The process of consulting the public and staff in the development of significant policies of the Local Authority               | Destroy 5 years from process | <ul style="list-style-type: none"> <li>• Local Plan Representations</li> </ul>  |                         | Common Practice | Relevant Head of Service |
| The process of consulting the public and staff of minor policies of the Local Authority  | Destroy 1 year from process  | <ul style="list-style-type: none"> <li>• Events Surveys</li> <li>• (if unsure please consult with legal as to meaning of major/minor policy changes)</li> </ul>   |                         | Common Practice | Relevant Head of Service |

## Corporate Policy on Document Retention and Document Management

| Functional Description  | Retention Action                   | Examples of Records   | Format                  | Notes           | Responsible Officer        |
|---|------------------------------------|---|-------------------------|-----------------|----------------------------|
| The process of consulting the public and staff of minor policies of the Local Authority<br><b><u>Information Management</u></b>           | Destroy 1 year from process        | <ul style="list-style-type: none"> <li>If unsure please consult with legal as to meaning of major/minor policy changes</li> </ul>                       |                         | Common Practice | Relevant Head of Service   |
| The activity whereby standards, authorities, restraints and verifications are introduced and maintained to manage information effectively | Permanent                          | <ul style="list-style-type: none"> <li>Classification schemes</li> <li>Registers</li> <li>Indexes</li> <li>Authorised Lists of File Headings</li> </ul> | Hard Copy               | Common Practice | Head of Resources          |
| The management of collections of records transferred to the archives  | Permanent                          | <ul style="list-style-type: none"> <li>Accession registers</li> <li>Depositor files</li> </ul>  | Electronic or Hard Copy | Common Practice | Relevant Head of Service   |
| The process that records the secure disposal of confidential records  | Destroy 12 years after last action | <ul style="list-style-type: none"> <li>Disposal certificates</li> </ul>   | Hard Copy               | Common Practice | Data Protection Officer    |
| <b><u>Enquiries and Complaints</u></b>  |                                    |   |                         |                 |                            |
| The management in summary form of enquiries and complaints directed to council  | Permanent                          | <ul style="list-style-type: none"> <li>Indexes</li> <li>Registers</li> </ul>  | Electronic or Hard Copy | Common Practice | Head of Corporate Services |

## Corporate Policy on Document Retention and Document Management

| Functional Description  | Retention Action                                      | Examples of Records  | Format                  | Notes           | Responsible Officer  |
|---|---|--|-------------------------|-----------------|--|
| The management of enquiries, submissions and complaints which result in significant changes to policies or procedures | Destroy 6 years after the closure of the file         | <ul style="list-style-type: none"> <li>• Reports</li> <li>• Returns</li> <li>• Correspondence</li> <li>• Asset of Community Value</li> </ul>         | Electronic or Hard Copy | Common Practice | Head of Corporate Services<br><br>Relevant Head of Service |
| The management of detailed responses on council actions, policy and procedures  | Destroy 6 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>                        | Electronic or Hard Copy | Common Practice | Head of Corporate Services                                 |
| The management of routine responses on council actions, policy or procedure (general enquiries)                       | Destroy 2 years after administrative use              | <ul style="list-style-type: none"> <li>• Printed Material</li> <li>• Form Letters</li> <li>• FOI responses</li> </ul>                                | Electronic or Hard Copy | Common Practice | Head of Corporate Services                                 |
| <b>Receipts and records of items sent via recorded delivery</b>   | 1 year  | <ul style="list-style-type: none"> <li>• Track and trace numbers.</li> <li>• Recorded delivery receipts.</li> <li>• Delivery confirmation</li> </ul> | Electronic or Hard Copy | Common Practice | Relevant Head of Service                                   |
| <b><u>Quality and Performance management</u></b>  |   |  |                         |                 |  |
| The process of monitoring or reviewing the quality, efficiency or performance of a Local Authority service or unit    | Destroy 5 years from closure                          | <ul style="list-style-type: none"> <li>• Best Value Review</li> <li>• Service Review</li> </ul>  | Both                    |                 | Head of Resources  |

## Corporate Policy on Document Retention and Document Management

| Functional Description   | Retention Action                            | Examples of Records  | Format                  | Notes           | Responsible Officer                  |
|--|---|--|-------------------------|-----------------|--------------------------------------|
| The process of assessing the quality, efficiency or performance of a Local Authority service or unit | Destroy 2 years from closure                | <ul style="list-style-type: none"> <li>Assessment form</li> </ul>  | Electronic or Hard Copy | Common Practice | Relevant Head of Service             |
| <b>Public relations</b>  |   |  |                         |                 |                                      |
| The process of designing setting information for publication   | Destroy 3 years from last action            | Dales Matters / E-newsletter   | Electronic or Hard Copy |                 | Communications and Marketing Manager |
| <b>Media Relations</b>   |   |  |                         |                 |                                      |
| The process of interaction with the media  | Destroy 3 years from closure                | Press statements   |                         |                 | Communications and Marketing Manager |
| Media publications concerning Local Authorities  | Permanent                                   | <ul style="list-style-type: none"> <li>Press cuttings</li> <li>Media reports</li> </ul>  | Electronic or Hard Copy | Common Practice | Communications and Marketing Manager |
| <b>Marketing</b>   |   |  |                         |                 |                                      |
| The process of developing and promoting Local Authorities' campaigns and events                      | Destroy 6 years after the date of the event | <ul style="list-style-type: none"> <li>Social Media Posts</li> <li>Posters</li> </ul>  | Electronic or Hard Copy |                 | Relevant Head of Service             |
| <b>Civic and Royal Events</b>  |   |  |                         |                 |                                      |
| The recording of ceremonial events and civic occasions   | Permanent                                   | <ul style="list-style-type: none"> <li>Visitor Book</li> <li>Audio Tapes</li> <li>Video Tapes</li> <li>Photographs</li> <li>Newspaper Clippings</li> </ul> | Hard Copy               | Common Practice | Relevant Head of Service             |

## Corporate Policy on Document Retention and Document Management

| Functional Description   | Retention Action                                      | Examples of Records   | Format                  | Notes           | Responsible Officer      |
|--|---|---|-------------------------|-----------------|--------------------------|
| The process of organising a ceremonial event or civic occasion | Destroy 7 years after administrative use is concluded | <ul style="list-style-type: none"> <li>Officer minutes of working groups, event strategy/plans</li> </ul> | Electronic or Hard copy | Common Practice | Relevant Head of Service |

### HOUSING:

| Functional Description   | Retention Action   | Examples of Records  | Format                  | Notes           | Responsible Officer |
|--|--|--|-------------------------|-----------------|---------------------|
| <b><u>Housing Provisions</u></b>   |  |  |                         |                 |                     |
| The registration of individual housing applications                      | Permanent  | <ul style="list-style-type: none"> <li>Council Housing Register</li> </ul>   | Hard Copy               |                 | Head of Housing     |
| The process for applying for council housing (unsuccessful applicants)   | Destroy 7 years after closure  | <ul style="list-style-type: none"> <li>Council housing application forms and supporting material</li> <li>Applications for transfer of tenancy and supporting paper</li> </ul> | Electronic or Hard Copy | Common Practice | Head of Housing     |
| Information on type of housing stock required                            | Destroy 4 years after last action  |  |                         |                 | Head of Housing     |
| Records of sites/buildings which may be developed for Affordable housing | Permanent  | <ul style="list-style-type: none"> <li>Plans and correspondence</li> </ul>   | Electronic or Hard Copy | Common Practice | Head of Housing     |
| Homeless Application Records   | Destroy 4 years from the date of permanent re-housing for accepted applications, 4 years from the latest action for other applications | <ul style="list-style-type: none"> <li>Correspondence</li> </ul>   | Electronic or Hard Copy | Common Practice | Head of Housing     |

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### LEGAL:

| Functional Description   | Retention Action   | Examples of Records   | Format                  | Notes                      | Responsible Officer |
|--|--|---|-------------------------|----------------------------|---------------------|
| <b><u>Litigation:</u></b>  |  |   |                         |                            |                     |
| The process of managing, undertaking or defending for or against litigation on behalf of the Local Authority | <p>Destroy 7 years after last action.</p> <p>Major Litigation – offer to archivist to review</p> | <ul style="list-style-type: none"> <li>• Criminal Case File</li> <li>• Civil Case File</li> <li>• Correspondence</li> </ul> | Hard Copy               | Statutory – Limitation Act | Senior Solicitor    |
| <b><u>Advice:</u></b>  |  |   |                         |                            |                     |
| The process of providing legal advice on a point of law  | <p>Destroy 7 years after last action</p> <p>Major Precedent – offer to archivist to review</p>   | <ul style="list-style-type: none"> <li>• Instructions and Correspondence from client departments</li> </ul>                 | Electronic or Hard Copy | Common Practice            | Senior Solicitor    |
| <b><u>Contracts:</u></b>   |  |   |                         |                            |                     |
| Capital Contracts  | Permanent  |   | Hard Copy               |                            | Senior Solicitor    |
| Contracts not under seal   | Destroy 7 years after terms of contract have expired   |   | Hard Copy               | Common Practice            | Senior Solicitor    |
| Contracts under seal   | Destroy 13 years after terms of the contract have expired  |   | Hard Copy               | Common Practice            | Senior Solicitor    |
| Non –contractual agreements  | Destroy 7 years after agreement expires or is terminated   | <ul style="list-style-type: none"> <li>• Concordant</li> </ul>  | Hard Copy               | Common Practice            | Senior Solicitor    |



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| Functional Description                                 | Retention Action   | Examples of Records   | Format                  | Notes   | Responsible Officer        |
|--|--|---|-------------------------|---|----------------------------|
| Contract Register                                      | Permanent  |   | Hard Copy               |   | Head of Corporate Services |
| Contract Documents                                     | 7 years after last date of expiry of the contracts               | <ul style="list-style-type: none"> <li>• Funding applications</li> <li>• Grant offer letters</li> <li>• Beneficiary data</li> </ul> | Hard Copy               | Common Practice   | Senior Solicitor           |
| <b>Conveyance:</b>                                     |  |   |                         |   |                            |
| The process of changing ownership of land and property | Destroy 12 years after closure                                   |   | Electronic or Hard Copy | Limitation Act 1980   | Senior Solicitor           |
| Leases   | Destroy 16 years after DDDC ceases to lease the site or premises |   | Hard Copy               | Limitation Act 1980 – 15 year long stop in which an action can be brought in the event of latent damage | Senior Solicitor           |
| Licences to occupy                                     | Destroy 7 years after expiry of Licence                          |   | Hard Copy               | Limitation Act 1980   | Senior Solicitor           |
| Easements  | Permanent  |   | Hard Copy               |   | Senior Solicitor           |
| Unregistered Title Documents                           | Permanent  |   | Hard Copy               |   | Senior Solicitor           |
| Land Charge searches                                   | Destroy after 6 years  |   | Electronic or Hard Copy | Local Land charges Act 1975   | Senior Solicitor           |
| <b>Footpath Closure:</b>                               |  |   |                         |   |                            |
| Footpath diversion Order                               | Permanent  |   | Hard Copy               | Statutory   | Senior Solicitor           |

## Corporate Policy on Document Retention and Document Management

| Functional Description   | Retention Action                                    | Examples of Records  | Format                  | Notes           | Responsible Officer |
|--|---|--|-------------------------|-----------------|---------------------|
| Footpath diversion files   | Destroy 6 years after date of confirmation of Order |  | Electronic or Hard Copy | Common Practice | Senior Solicitor    |
| <b><u>s.106 Agreements:</u></b>  |   |  |                         |                 |                     |
| S.106 Agreement  | Permanent   |  | Hard Copy               | Statutory       | Senior Solicitor    |
| S.106 legal file   | Destroy 12 years after date of Agreement            |  | Electronic or Hard Copy | Common Practice | Senior Solicitor    |
| <b><u>Traffic Regulation Orders:</u></b>                                 |   |  |                         |                 |                     |
| The process around obtaining and implementing a traffic regulation order | Destroy 7 years after TRO has expired               |  | Both                    | Common Practice | Senior Solicitor    |
| <b><u>Regulation of Investigatory Powers Act</u></b>                     |   |  |                         |                 |                     |
| Handling of investigation that come under RIPA                           | Destroy after 2 years                               | <ul style="list-style-type: none"> <li>Case Files</li> </ul> | Both                    | Statutory       | Senior Solicitor    |

## Corporate Policy on Document Retention and Document Management

### PROCUREMENT:

| Functional Description  | Retention Action  | Examples of Records  | Format                  | Notes           | Responsible Officer      |
|---|---|--|-------------------------|-----------------|--------------------------|
| The process involved in the development and specification of a contract | <u>Ordinary Contracts</u><br>Destroy 7 years after the terms of contract have expired<br><u>Contracts under Seal</u><br>Destroy 13 years after the terms of contract have expired | <ul style="list-style-type: none"> <li>• Tender Specification</li> <li>• Correspondence</li> </ul>   | Electronic or Hard Copy | Statutory       | Relevant Head of Service |
| The process of calling for expressions of Interest                      | Destroy 12 years after closure  | <ul style="list-style-type: none"> <li>• Expressions of Interest</li> </ul>  | Electronic or Hard Copy | Common Practice | Relevant Head of Service |
| The process involved in the issuing and return of a tender              | Destroy 1 year after start of contract  | <ul style="list-style-type: none"> <li>• Opening notice</li> <li>• Tender envelope</li> <li>• Unsuccessful tender documentation</li> </ul> | Hard Copy               | Common Practice | Relevant Head of Service |
| Summary tender evaluation criteria                                      | <u>Ordinary Contracts</u><br>Destroy 7 years after the terms of contract have expired<br><u>Contracts under Seal</u><br>Destroy 13 years after the terms of contract have expired | <ul style="list-style-type: none"> <li>• Evaluation criteria</li> </ul>  | Electronic or Hard Copy | Statutory       | Relevant Head of Service |

## Corporate Policy on Document Retention and Document Management

| Functional Description   | Retention Action  | Examples of Records | Format                  | Notes           | Responsible Officer      |
|--|---|---------------------|-------------------------|-----------------|--------------------------|
| Successful tender document                                       | <u>Ordinary Contracts</u><br>Destroy 7 years after the terms of contract have expired<br><u>Contracts under Seal</u><br>Destroy 13 years after the terms of contract have expired |                     | Electronic or Hard Copy | Common Practice | Relevant Head of Service |
| Purchase Requisitions  | Destroy after 7 years   |                     | Hard Copy               | Common Practice | Relevant Head of Service |
| Approved list of Contractors                                     | Destroy after 5 years   |                     | Electronic or Hard Copy | Common Practice | Relevant Head of Service |
| Delivery Notes   | Destroy after 2 years   |                     | Hard Copy               | Common Practice | Relevant Head of Service |
| Goods Received Notes   | Destroy after 2 years   |                     | Hard Copy               | Common Practice | Relevant Head of Service |
| Invoices   | Destroy after 7 years   |                     | Hard Copy               | Statutory       | Relevant Head of Service |
| Evidence of Payments of EU Grants                                | Destroy after 30 years  |                     | Hard Copy               | Statutory       | Relevant Head of Service |
| European Regional Development Fund (ERDF) for 2014-2020 Projects | (See Appendix 2)  |                     |                         |                 |                          |
| Official Orders  | Destroy after 3 years   |                     | Hard Copy               | Statutory       | Relevant Head of Service |

# Corporate Policy on Document Retention and Document Management

## HUMAN RESOURCES:

| Functional Description   | Retention Action                        | Examples of Records  | Format                  | Notes   | Responsible Officer     |
|--|---|--|-------------------------|---|-------------------------|
| <b><u>Personal Administration</u></b>  |   |  |                         |   |                         |
| Summary management systems that record the monitoring and management of employees  | Permanent                               | <ul style="list-style-type: none"> <li>• Employment Registers for permanent, temporary or casual staff</li> <li>• Registers of personal files</li> <li>• Superannuation History</li> <li>• Personal History Cards</li> </ul> | Electronic or Hard Copy | <p>Common Practice</p> <p><b>Note: The summary information that this record class attempts to capture is:-</b></p> <p><b>Name DOB</b><br/> <b>Date of appointment</b><br/> <b>Work history details</b><br/> <b>Position / designation</b><br/> <b>Titles &amp; dates held</b></p> | Human Resources Manager |
| The process of administering employees to ensure that entitlements and obligations are in accordance with agreed employment requirements | 7 years from termination of employment. | <p>Personal File Data:</p> <ul style="list-style-type: none"> <li>• Application Form/CV</li> <li>• Letter of Appointment</li> <li>• Letter of Acceptance</li> <li>• Acceptance Form</li> <li>• Medical clearance</li> </ul>  | Electronic or Hard Copy | Common Practice   | Human Resources Manager |

## Corporate Policy on Document Retention and Document Management

| Functional Description  | Retention Action   | Examples of Records   | Format | Notes | Responsible Officer |
|---|--|---|--------|-------|---------------------|
| <ul style="list-style-type: none"> <li>Records containing superannuating information</li> </ul>   | Destroy 7 years from date of last pension payment or 7 years from the date of termination of employment if non-pension contributor | <ul style="list-style-type: none"> <li>Statement of particulars</li> <li>Induction Checklist</li> <li>Starters form</li> <li>Job Description</li> <li>Job Consultation</li> <li>Educational qualifications</li> <li>Declaration of interests</li> <li>Training records</li> </ul> |        |       |                     |
| <ul style="list-style-type: none"> <li>Personal employment record (staff working with children or vulnerable adults, and high risk groups)</li> </ul> | Destroy 25 years from the date of termination of employment  |   |        |       |                     |
| <ul style="list-style-type: none"> <li>DBS/CRB Application Forms</li> </ul>   | Destroy 6 months after disclosure application response from DBS/CRB  |   |        |       |                     |
| <ul style="list-style-type: none"> <li>Equal Opportunity Monitoring forms</li> </ul>  | 6 months then forms destroyed for unsuccessful applicants  |   |        |       |                     |
| Salary Records  | 7 years from end of financial year   | <ul style="list-style-type: none"> <li>Wage, overtime, additional hours payments</li> </ul>   |        |       | Payroll Manager     |

## Corporate Policy on Document Retention and Document Management

| Functional Description   | Retention Action   | Examples of Records  | Format                     | Notes              | Responsible Officer        |
|--|--|--|----------------------------|--------------------|----------------------------|
| <b>Employment and Industrial Relations</b>   |  |  |                            |                    |                            |
| Identification and development of significant directions concerning industrial matters                           | Permanent.<br>Transfer to place of deposit after administrative use is concluded   | <ul style="list-style-type: none"> <li>Generic Agreements (White, Green &amp; 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> | Electronic or<br>Hard Copy | Common<br>Practice | Human Resources<br>Manager |
| Liaison processes of minor and routine industrial matters  | Destroy 2 years after administrative use is concluded  | <ul style="list-style-type: none"> <li>Daily Industrial Relations Management</li> <li>E.g. new/updates to policies, flexible working, internet at work policy</li> </ul>   | Hard Copy                  | Common<br>Practice | Human Resources<br>Manager |
| Processing of Investigations where proved: <ul style="list-style-type: none"> <li>Disciplinary issues</li> </ul> | Oral Warning – 6 months.<br>Written and final Warning – 1 year<br><br>The above warnings to be removed and destroyed after the relevant time has 'spent'.<br>Warnings involving Children – Placed on personal file – Permanently | <ul style="list-style-type: none"> <li>Minutes of meetings</li> <li>Investigation reports</li> <li>Letter – formal notification of warning</li> </ul>  | Hard Copy                  |                    | Human Resources<br>Manager |

## Corporate Policy on Document Retention and Document Management

| Functional Description   | Retention Action   | Examples of Records  | Format    | Notes           | Responsible Officer     |
|--|--|--|-----------|-----------------|-------------------------|
| <ul style="list-style-type: none"> <li>Grievance issues</li> <li>Dignity at work issues</li> </ul>   | Destroy 7 years from the date of last pension payment or from date of termination of employment if non pension   | <ul style="list-style-type: none"> <li>Employee Correspondence</li> </ul>  |           |                 | Human Resources Manager |
| Processing Investigations which were unfounded: Disciplinary, Grievance and Dignity at Work Issues   | Destroy immediately 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 hearing etc.</li> </ul> | Hard Copy | Common Practice | Human Resources Manager |
| <b><u>Equalities</u></b>   |  |  |           |                 |                         |
| The process of Investigation and reporting on specific cases to ensure that entitlements and obligations are in accordance with agreed Equalities policies | <p>Where <u>founded</u> destroy 6 years from the date of last pension payment or from the date of termination of employment if non-pension contributor</p> <p>Where <u>unfounded</u> destroy 6 months after final decision</p> | <ul style="list-style-type: none"> <li>Allegations of discrimination and grievance records</li> </ul>  |           | Common Practice | Human Resources Manager |



## Corporate Policy on Document Retention and Document Management

| Functional Description                                     | Retention Action  | Examples of Records  | Format                  | Notes           | Responsible Officer  |
|--|---|--|-------------------------|-----------------|--|
| <b>Occupational Health</b>                                 |   |  |                         |                 |  |
| The process of checking and ensuring the health of staff   | These are treated as 'live' for current employees and are destroyed 50 years after termination                              | <ul style="list-style-type: none"> <li>• Health questionnaires</li> <li>• Medical clearance</li> <li>• Adjustment to work place</li> <li>• Restrictions</li> </ul>             | Electronic or Hard Copy | Common Practice | Human Resources Manager                                      |
| <b>Recruitment</b>   |   |  |                         |                 |  |
| The selection of an individual for an established position | Destroy 1 year after recruitment has been finalised.<br><br>Relevant documents will be placed on                            | <ul style="list-style-type: none"> <li>• Advertisements</li> <li>• Application forms</li> <li>• Interview notes and any referee reports for unsuccessful applicants</li> </ul> | Electronic or Hard Copy | Common Practice | Human Resources Manager                                      |
| 'On Spec' Applications                                     | The successful candidates personal file<br><br>Letters of reply are retained for 6 months only. CV is returned or destroyed | <ul style="list-style-type: none"> <li>• CVs</li> <li>• Generic application forms</li> <li>• Letters of enquiry</li> </ul>   |                         |                 | <b>Human Resources Manager/<br/>Relevant head of service</b> |
| <b>Staff Monitoring</b>                                    |   |  |                         |                 |  |
| Performance  | Destroy 7 years from the date of termination of employment  | <ul style="list-style-type: none"> <li>• Probation reports</li> <li>• Performance Management records, plans and appraisals</li> <li>• Equality Information</li> </ul>          | Electronic or Hard Copy |                 | Human Resources Manager                                      |

## Corporate Policy on Document Retention and Document Management

| Functional Description   | Retention Action  | Examples of Records  | Format                  | Notes           | Responsible Officer                         |
|--|---|--|-------------------------|-----------------|---|
| Process of monitoring staff absence.   | Retain in employment file   | <ul style="list-style-type: none"> <li>Sick Leave</li> <li>Authorised absence records e.g. jury service, study leave, special leave</li> </ul> | Electronic or Hard Copy | Common Practice | Human Resources Manager                     |
| Process of monitoring staff leave and Flexitime  | Destroy 2 years after last action completed   | <ul style="list-style-type: none"> <li>Flexitime sheets</li> <li>Leave Requests (HR21)</li> <li>Time Sheets</li> </ul>                         |                         |                 |   |
| <b><u>Staff Retention</u></b>  |   |  |                         |                 |   |
| Financial Reward   | Destroy 7 years after action completed  | <ul style="list-style-type: none"> <li>Loyalty Payments</li> <li>Long Service awards</li> </ul>  | Hard Copy               |                 | Human Resources Manager                     |
| <b><u>Termination</u></b>  |   |  |                         |                 |   |
| The process of termination of staff through voluntary redundancy, dismissal and retirement | Destroy 7 years after termination<br><br>If a pension is paid then records should be destroyed 7 years after last pension payment | <ul style="list-style-type: none"> <li>Resignation</li> <li>Redundancy</li> <li>Dismissal</li> <li>Death</li> <li>Retirement</li> </ul>        | Hard Copy               |                 | Human Resources Manager                     |
| Car Leases   | Seven years after the terms of the agreement have expired   |  |                         |                 | Relevant Head of Service/ Head of Resources |

## Corporate Policy on Document Retention and Document Management

| Functional Description                             | Retention Action  | Examples of Records   | Format                  | Notes           | Responsible Officer     |
|--|---|---|-------------------------|-----------------|-------------------------|
| <b><u>Training and Development</u></b>             |   |   |                         |                 |                         |
| Routine Staff training process                     | Destroy 3 years after action  | <ul style="list-style-type: none"> <li>• Course bookings</li> <li>• Individual staff assessment of course attended</li> <li>• Any training materials</li> </ul> | Electronic or Hard Copy | Common Practice | Human Resources Manager |
| Training (occupational health and safety training) | Destroy 50 years after training completed.  | <ul style="list-style-type: none"> <li>• E.g. RIDDOR, COSHH</li> </ul>  | Electronic or Hard Copy |                 | Human Resources Manager |
|  | Individual course assessment records should be destroyed once the training has been renewed every 3 years | <ul style="list-style-type: none"> <li>• Driver assessment</li> <li>• Manual handling</li> </ul>  | Hard Copy               |                 |                         |
| Training – Proof of completion                     | Retain in employment file   | <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>        | Electronic or Hard Copy |                 | Human Resources Manager |

## Corporate Policy on Document Retention and Document Management

| Functional Description  | Retention Action                          | Examples of Records   | Format               | Notes   | Responsible Officer     |
|---|---|---|----------------------|---|-------------------------|
| <b><u>Appointment of Statutory Officers</u></b>   |   |   |                      |   |                         |
| Summary management systems that allow the monitoring and management of statutory officers in summary form | Permanent                                 | <ul style="list-style-type: none"> <li>Committee minutes &amp; reports</li> </ul>   | Electronic/Hard copy | Statutory Officers:<br>Head of Paid Service<br>Chief Finance Officer<br>Monitoring Officer<br>RIPA Officer<br>DPO | Human Resources Manager |
| The process of selection of an individual for a statutory position  | Destroy 2 years after date of appointment | <ul style="list-style-type: none"> <li>Vacancies and Application records</li> <li>Interview notes</li> <li>Prospective staff records</li> <li>Registers of applicant</li> <li>Unsuccessful application records</li> </ul> |                      |   | Human Resources Manager |

### **FINANCIAL MANAGEMENT:**

| Functional Description   | Retention Action | Examples of Records   | Format                   | Notes           | Responsible Officer |
|--|------------------|---|--------------------------|-----------------|---------------------|
| <b><u>Accounts and Audits</u></b>  |                  |   |                          |                 |                     |
| The process that consolidates financial transactions on an annual basis for corporate and reporting purposes | Permanent        | <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> <li>Cash Flow Statements</li> </ul> | Hard Copy and Electronic | Common Practice | Head of Resources   |

## Corporate Policy on Document Retention and Document Management

| Functional Description   | Retention Action                             | Examples of Records  | Format                   | Notes           | Responsible Officer |
|--|--|--|--------------------------|-----------------|---------------------|
| Working Papers for the consolidated financial statements   | Destroy after 7 years                        | <ul style="list-style-type: none"> <li>End of Year debtor/creditor listings</li> <li>End of Year bank reconciliation</li> </ul>  | Hard Copy or Electronic  |                 | Head of Resources   |
| The process that supports and consolidates financial transactions on a periodic (less than annual) basis, superseding those from the previous period. Does not include subsidiary ledgers and cash books | Destroy when administrative use is concluded | <ul style="list-style-type: none"> <li>Consolidated Monthly and Quarterly Reports</li> <li>Consolidated Monthly and Quarterly financial statements</li> <li>Monthly Accrual Statements</li> <li>Creditor Listings and Reports</li> <li>Debtor Listing and Reports</li> </ul> | Hard Copy and Electronic | Common Practice | Head of Resources   |
| The process that supports and consolidates financial transactions on a periodic (less than annual) basis, superseding those from the previous period. Does not include subsidiary ledgers and cash books | Destroy when administrative use is concluded | <ul style="list-style-type: none"> <li>Consolidated Monthly and Quarterly Reports</li> <li>Consolidated Monthly and Quarterly financial statements</li> <li>Monthly Accrual Statements</li> <li>Creditor Listings and Reports</li> <li>Debtor Listing and Reports</li> </ul> | Hard Copy and Electronic | Common Practice | Head of Resources   |

## Corporate Policy on Document Retention and Document Management

| Functional Description   | Retention Action   | Examples of Records  | Format                  | Notes     | Responsible Officer      |
|--|--|--|-------------------------|-----------|--------------------------|
| The process of auditing the Council's systems and services internally                          | Destroy after 6 years  | <ul style="list-style-type: none"> <li>Working papers</li> <li>Audit reports</li> </ul>  | Electronic              |           | Head of Resources        |
| <b><u>Financial Transaction Management</u></b>   |  |  |                         |           |                          |
| Management of the approvals process for purchase, including investigations                     | Destroy 7 years after the end of the financial year in which the records were created      | <ul style="list-style-type: none"> <li>Appointments and Delegations</li> <li>Audit Investigations</li> <li>Arrangements for the Provision of Goods and/or Services</li> </ul>  | Electronic or Hard Copy | Statutory | Head of Resources        |
| Identification of the receipt, expenditure and write offs of public moneys                     | Destroy 7 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 Book</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> | Hard Copy or Electronic | Statutory | Head of Resources        |
| The process of involving the provision and support for individuals using public transportation | Destroy 6 years after the conclusion of the financial transaction that the record supports | <ul style="list-style-type: none"> <li>Applications</li> <li>Card issues</li> <li>Rail Warrants</li> </ul>   | Hard Copy               | Statutory | Relevant Head of Service |

## Corporate Policy on Document Retention and Document Management

| Functional Description   | Retention Action   | Examples of Records  | Format                  | Notes           | Responsible Officer      |
|--|--|--|-------------------------|-----------------|--------------------------|
| The process of involving the provision and support for individuals using public transportation | Destroy 6 years after the conclusion of the financial transaction that the record supports | <ul style="list-style-type: none"> <li>• Applications</li> <li>• Card issues</li> <li>• Rail Warrants</li> </ul>   | Hard Copy               | Statutory       | Relevant Head of Service |
| The processes that balance and reconcile financial accounts                                    | Destroy 7 years after the administrative use is concluded                                  | <ul style="list-style-type: none"> <li>• Reconciliation</li> <li>• Summaries of Accounts</li> </ul>  | Hard Copy               | Common Practice | Head of Resources        |
| Taxation Records   | Destroy 5 years after the end of the financial year in which the record was created        | <ul style="list-style-type: none"> <li>• Taxation records</li> <li>• Motor vehicle logs</li> <li>• Group Certificates</li> <li>• VAT Records</li> </ul>  | Hard Copy               | Statutory       | Head of Resources        |
| The processes involved in the collection of National Insurance Numbers                         | Destroy 2 years after the employee ceases employment                                       | <ul style="list-style-type: none"> <li>• Notification and input Records</li> </ul>   | Electronic or Hard Copy | Common Practice | Head of Resources        |
| <b><u>Payroll</u></b>  |  |  |                         |                 |                          |
| Accountable processes relating to payment of employees   | Destroy 7 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> | Electronic or Hard Copy | Statutory       | Head of Resources        |

## Corporate Policy on Document Retention and Document Management

| Functional Description   | Retention Action   | Examples of Records  | Format                  | Notes           | Responsible Officer |
|--|--|--|-------------------------|-----------------|---------------------|
| Non-Accountable processes relating to payment of employees   | Destroy after administrative use is concluded                  | <ul style="list-style-type: none"> <li>Summary Pay records</li> </ul>  | Electronic or Hard Copy | Common Practice | Head of Resources   |
| <b>Financial Provisions</b>  |  |  |                         |                 |                     |
| The process of finalising Local Authorities' Annual Budget   | Permanent  | <ul style="list-style-type: none"> <li>Annual Budget</li> </ul>  | Electronic or Hard Copy | Common Practice | Head of Resources   |
| The process of developing Local Authorities' Annual Budget   | Destroy 7 years after Annual Budget adopted by Local Authority | <ul style="list-style-type: none"> <li>Draft Budgets</li> <li>Departmental Budgets</li> <li>Draft Estimates</li> </ul> | Electronic or Hard Copy | Common Practice | Head of Resources   |
| The process of reporting which examines the budget in relation to actual revenue and expenditure             | Destroy 3 years after the relevant financial year              | <ul style="list-style-type: none"> <li>Quarterly Statements</li> </ul>   | Hard Copy               | Common Practice | Head of Resources   |
| The activity of borrowing money to enable Local Authorities to perform its functions and exercise its powers | Destroy 7 years after the loan has been repaid                 | <ul style="list-style-type: none"> <li>Loan files</li> </ul>   | Hard Copy               | Statutory       | Head of Resources   |
| Summary management of loans  | Permanent  | <ul style="list-style-type: none"> <li>Loan Registers</li> </ul>   | Electronic or Hard Copy | Common Practice | Head of Resources   |



## Corporate Policy on Document Retention and Document Management

| Functional Description   | Retention Action  | Examples of Records  | Format                  | Notes           | Responsible Officer                 |
|--|---|--|-------------------------|-----------------|-------------------------------------|
| <b>Housing</b>   |   |  |                         |                 |                                     |
| Home improvement Grants  | <p>Destroy 1 year after the end of the grant condition period or 6 years after the last payment whichever comes first</p> <p>Where plans and detailed drawings are included, with the permission of the applicant, offer to Archivist</p> | <ul style="list-style-type: none"> <li>• Agreement to pay loan</li> <li>• Details of payment</li> <li>• Correspondence relating to loan</li> </ul>   | Electronic or Hard Copy | Statutory       | Head of Housing / Head of Resources |
| The banding of domestic properties for the purpose of calculating the tax base and levying Council Tax | Permanently   | <ul style="list-style-type: none"> <li>• Valuation Office Agency schedules of updates</li> <li>• Valuation Office Agency no-action schedules</li> <li>• Valuation Office Agency reconciliation of Council Tax bands</li> <li>• DDDC Notifications to Valuation Office Agency</li> <li>• Correspondence/records of contact</li> </ul> | Both                    | Common Practice | Head of Resources                   |

## Corporate Policy on Document Retention and Document Management

| Functional Description   | Retention Action  | Examples of Records   | Format                  | Notes           | Responsible Officer |
|--|---|---|-------------------------|-----------------|---------------------|
| <b><u>Non Domestic Rating List</u></b>   |   |   |                         |                 |                     |
| The valuation of non-domestic hereditaments for the purpose of levying non domestic rates  | Destroy 7 years after the end of the financial year in which it was created | <ul style="list-style-type: none"> <li>• Valuation List</li> <li>• Correspondence</li> <li>• Appeals</li> <li>• Reports</li> </ul>  | Electronic or Hard Copy | Common Practice | Head of Resources   |
| <b><u>Council Tax and Non Domestic Rates</u></b>   |   |   |                         |                 |                     |
| The activity of corresponding with Council Tax Payers in relation to the collection, administration and recovery of Council Tax and Non Domestic Rates | Permanently   | <ul style="list-style-type: none"> <li>• Correspondence (letters, emails, faxes)</li> <li>• Notifications of circumstance</li> <li>• Exemption and discount applications</li> <li>• Appeals</li> <li>• Refund claims</li> <li>• Direct debit processing</li> <li>• Data matching</li> <li>• Authorities to discuss</li> </ul> | Electronic              | Common Practice | Benefits Manager    |
| <b><u>Benefits</u></b>   |   |   |                         |                 |                     |
| The administration assessment and payment of housing and Council Tax benefit   | 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>  | Electronic or Hard Copy | Common Practice | Benefits Manager    |
| The process of recording lawful access to the DWP Customer Information System  | Destroy 1 year after administrative use has concluded                       | <ul style="list-style-type: none"> <li>• Test Check Form</li> </ul>   | Electronic              | Common Practice | Benefits Manager    |

## Corporate Policy on Document Retention and Document Management

| Functional Description  | Retention Action   | Examples of Records   | Format                  | Notes           | Responsible Officer            |
|---|--|---|-------------------------|-----------------|--------------------------------|
| <b><u>Summary Assets Management</u></b>   |  |   |                         |                 |                                |
| The summary management reporting on the overall assets of the Local Authority         | Permanent  | <ul style="list-style-type: none"> <li>• Schedules and Acquisitions</li> <li>• Consolidated Current Asset Reports</li> <li>• Annual Reports</li> <li>• Summary of Current Assets</li> <li>• Asset Registers</li> </ul>              | Hard Copy or Electronic | Common Practice | Estates and Facilities Manager |
| <b><u>Asset Monitoring and Maintenance</u></b>  |  |   |                         |                 |                                |
| Management systems that allow the monitoring and management of assets in summary form | Destroy 7 years after the conclusion of the financial transaction that the record supports | <ul style="list-style-type: none"> <li>• Subsidiary Asset Register</li> </ul>   | Hard Copy               | Common Practice | Head of Resources              |
| The process of reporting and reviewing assets status                                  | Destroy 5 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 and Proposals</li> </ul> | Hard Copy or Electronic | Common Practice | Head of Resources              |
| The process of maintaining assets   | Destroy 7 years after last action  | <ul style="list-style-type: none"> <li>• Garden Maintenance</li> <li>• Cleaning</li> <li>• Painting</li> </ul>  | Hard Copy or Electronic | Common Practice | Estates and Facilities Manager |
| The process of maintaining plant and equipment  | Destroy 2 years after sale or disposal of asset  | <ul style="list-style-type: none"> <li>• Service Records</li> <li>• Plant files</li> </ul>  | Hard Copy or Electronic | Common Practice | Estates and Facilities Manager |

## Corporate Policy on Document Retention and Document Management

| Functional Description  | Retention Action   | Examples of Records   | Format    | Notes     | Responsible Officer            |
|---|--|---|-----------|-----------|--------------------------------|
| <b><u>Asset Acquisition and Disposal</u></b>  |  |   |           |           |                                |
| Management of the acquisition (by financial lease or purchase) and disposal (by sale or write off) process for assets | <p><u>Assets over £50,000</u><br/>Destroy 12 years after all obligations/entitlements are concluded.</p> <p><u>Assets under £50,000</u><br/>Destroy 6 years after all obligations/entitlements are concluded</p> | <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>• Application for Leases, Licences and Rental Revision</li> <li>• Tender Documents</li> <li>• Conditions of Contract</li> <li>• Certificates of Approval</li> </ul> | Hard Copy | Statutory | Estates and Facilities Manager |

### **PROPERTY AND LAND MANAGEMENT:**

| Functional Description   | Retention Action | Examples of Records  | Format    | Notes           | Responsible Officer            |
|--|------------------|--|-----------|-----------------|--------------------------------|
| <b><u>Property and Land Management</u></b>                       |                  |  |           |                 |                                |
| Reports to management on overall property of the Local Authority | Permanent        | <ul style="list-style-type: none"> <li>• Consolidated Property and Buildings Annual Reports</li> <li>• Summary of Local Authorities Owned Property</li> <li>• Site Register</li> <li>• Register of Leases</li> </ul> | Hard Copy | Common Practice | Estates and Facilities Manager |

## Corporate Policy on Document Retention and Document Management

| Functional Description   | Retention Action   | Examples of Records  | Format                  | Notes           | Responsible Officer            |
|--|--|--|-------------------------|-----------------|--------------------------------|
| Administration of Assets of Community Value applications                             | 7 years  | <ul style="list-style-type: none"> <li>• Assets of Community Value Applications</li> <li>• Representations</li> <li>• Appeals</li> </ul> | Electronic              |                 | Head of Regulatory Services    |
| <b><u>Property Acquisition and Disposal</u></b>                                      |  |  |                         |                 |                                |
| Management of acquisition (by financial lease or purchase) process for real property | <u>Assets over £50,000</u><br>Destroy 13 years after all obligations/entitlements are concluded. |  | Electronic or Hard Copy | Common Practice | Estates and Facilities Manager |
|  | <u>Assets under £50,000</u><br>Destroy 7 years after all obligations/entitlements are concluded  |  |                         |                 |                                |

## Corporate Policy on Document Retention and Document Management

| Functional Description   | Retention Action   | Examples of Records   | Format                  | Notes           | Responsible Officer            |
|--|--|---|-------------------------|-----------------|--------------------------------|
| Management of the disposals (by sale or write off) process for real property                               | <u>Assets over £50,000</u><br>Destroy 13 years after all obligations/entitlements are concluded. | <ul style="list-style-type: none"> <li>• Legal documents relating to the sale</li> <li>• Particulars of sale Document</li> <li>• Board of Survey</li> <li>• Tender Documents</li> <li>• Conditions of Contract</li> </ul> | Hard Copy               | Common Practice | Estates and Facilities Manager |
|  | <u>Assets under £50,000</u><br>Destroy 6 years after all obligations/entitlements are concluded  |   |                         |                 |                                |
| <b><u>Property Development and Renovation</u></b>  |  |   |                         |                 |                                |
| Management <ul style="list-style-type: none"> <li>• Buildings and estates of “special Interest”</li> </ul> | Permanent  | <ul style="list-style-type: none"> <li>• Project specifications</li> <li>• Plans</li> <li>• Installation Manuals</li> <li>• Certificates of Approval</li> </ul>   | Hard Copy               | Common Practice | Estates and Facilities Manager |
| Management <ul style="list-style-type: none"> <li>• All other buildings and estates</li> </ul>             | Retain for life of property or building  | <ul style="list-style-type: none"> <li>• Project Specifications</li> <li>• Plans</li> <li>• Installation Manuals</li> <li>• Certificates of Approval</li> </ul>   | Electronic or Hard Copy | Common Practice | Estates and Facilities Manager |
| The action process involved in the development and renovation of property                                  | Destroy 7 years after the conclusion of the transaction that record supports                     | <ul style="list-style-type: none"> <li>• Work orders</li> <li>• Tender documents</li> <li>• Conditions of Contracts</li> </ul>  | Electronic or Hard Copy | Common Practice | Estates and Facilities Manager |

## Corporate Policy on Document Retention and Document Management

| Functional Description  | Retention Action   | Examples of Records  | Format                  | Notes           | Responsible Officer            |
|---|--|--|-------------------------|-----------------|--------------------------------|
| <b><u>Leasing and Occupancy</u></b>   |  |  |                         |                 |                                |
| The process of managing leased property   | Destroy 15 years after the expiry of the Lease                                   | <ul style="list-style-type: none"> <li>Rental Expenditure Authorities</li> <li>Valuation Queries</li> <li>Application of Leases, Licences and Rental Revision</li> </ul> | Electronic or Hard Copy | Common Practice | Estates and Facilities Manager |
| The process of managing the occupancy of property   | Destroy 7 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>  | Electronic or Hard Copy | Common Practice | Estates and Facilities Manager |
| <b><u>Systems Management</u></b>  |  |  |                         |                 |                                |
| The internal process to develop and extend the capabilities of a system used to support the activities of the Council Local Authority | Retain for the life of system  |  |                         |                 | Relevant Head of Service       |
| <b><u>Transport Management</u></b>  |  |  |                         |                 |                                |
| The process of acquisition and disposal of vehicles through lease or purchase   | Destroy 7 years after the disposal of the vehicle                                | <ul style="list-style-type: none"> <li>Lease</li> <li>Contracts</li> <li>Quotes</li> <li>Approvals</li> <li>Fleet Authorisation Numbers</li> </ul>                       | Hard Copy               | Common Practice | Relevant Head of Service       |
| The process of managing allocations and maintenance of vehicles   | Destroy 7 years after the sale or disposal of the vehicle                        | <ul style="list-style-type: none"> <li>Approvals as Drivers</li> <li>Allocations and Authorisations for vehicles</li> <li>Maintenance</li> </ul>                         | Hard Copy               | Common Practice | Relevant Head of Service       |

## Corporate Policy on Document Retention and Document Management

| Functional Description  | Retention Action  | Examples of Records   | Format                  | Notes           | Responsible Officer      |
|---|---|---|-------------------------|-----------------|--------------------------|
| The process of recording vehicle usage  | Destroy 3 years after the sale or disposal of the vehicle   | <ul style="list-style-type: none"> <li>Vehicle usage reports</li> </ul>   | Hard Copy               | Statutory       | Relevant Head of Service |
| The process of recording driver's usage   | Destroy 7 years after closure                               | <ul style="list-style-type: none"> <li>Vehicle Tracking data</li> </ul>   | Hard Copy               | Statutory       | Relevant Head of Service |
| <b>Insurance</b>  |   |   |                         |                 |                          |
| The summary management of insurance arrangements  | Permanent   | <ul style="list-style-type: none"> <li>Insurance Registration</li> <li>Public and Employers Liability certificates</li> <li>Fidelity Guarantee</li> </ul> | Electronic or Hard Copy | Common Practice | Head of Resources        |
| The process of insuring Local Authority officers, property, vehicles and equipment against negligence, loss or damage | Destroy 7 years after the terms of the policy have expired  | <ul style="list-style-type: none"> <li>Insurance Policies</li> <li>Correspondence</li> </ul>  | Electronic or Hard Copy |                 | Head of Resources        |
| The process of renewing policies  | Destroy 7 years after the insurance policy has been renewed | <ul style="list-style-type: none"> <li>Insurance Policy Renewal Records</li> <li>Correspondence</li> </ul>  | Electronic or Hard Copy |                 | Head of Resources        |



## Corporate Policy on Document Retention and Document Management

| Functional Description   | Retention Action  | Examples of Records  | Format    | Notes  | Responsible Officer |
|--|---|--|-----------|--|---------------------|
| <b><u>Claims Management</u></b>  |   |  |           |  |                     |
| The process that records insurance claims against Local Authority or Local Authorities offices | Destroy 10 years after all obligations/ entitlements are concluded (allowing for the claimant to reach 21 years of age) | <ul style="list-style-type: none"> <li>• Claims records</li> <li>• Correspondence</li> </ul> | Hard Copy | Common Practice<br><br>*Please consult legal on retention if the claimant has a disability which may prevent a claim being issued as | Head of Resources   |

### **GENERAL PUBLIC SERVICES**

| Functional Description  | Retention Action   | Examples of Records   | Format     | Notes | Responsible Officer        |
|---|--|---|------------|-------|----------------------------|
| <b><u>General Services</u></b>                                    |  |   |            |       |                            |
| Gold Card Application process                                     | 1 year   | <ul style="list-style-type: none"> <li>• Gold Card applications</li> </ul>  | Hard Copy  |       | Head of Corporate Services |
| The administration of First Contact enquiries                     | 6 Months   | <ul style="list-style-type: none"> <li>• First Contact enquiries</li> </ul> | Electronic |       | Head of Corporate Services |
| The process of handling Foreign Pension (proof of life) Enquiries | 2 years  | <ul style="list-style-type: none"> <li>• Customer records</li> </ul>        | Electronic |       | Head of Corporate Services |
| E-newsletter database and distribution                            | Automatically regulated (removes invalid e-mail addresses) & those of recipients who unsubscribe | <ul style="list-style-type: none"> <li>• Recipient Database</li> </ul>      | Electronic |       | Head of Corporate Services |

## Corporate Policy on Document Retention and Document Management

| Functional Description  | Retention Action  | Examples of Records  | Format                  | Notes           | Responsible Officer                                      |
|---|---|--|-------------------------|-----------------|--|
| The process of administering and providing Radar Keys to eligible members of the public                           | 1 year  | <ul style="list-style-type: none"> <li>Radar Key Recipient list</li> </ul>                           | Electronic              |                 | Head of Community Development and Environmental Services |
| <b><u>Inspections and Assessments</u></b>   |   |  |                         |                 |  |
| The process of inspecting equipment to ensure it is safe  | Destroy 6 years from the destruction of the equipment                     | <ul style="list-style-type: none"> <li>Equipment Inspection Records</li> </ul>                       | Electronic or Hard Copy | Statutory       | Estates and Facilities Manager                           |
| Documentation regarding inspections made on establishments concerning food hygiene                                | Destroy 7 years after inspection  | <ul style="list-style-type: none"> <li>Food Standards Inspection Forms</li> </ul>                    | Hard Copy               | Common Practice | Principal Environmental Health officer                   |
| The process of carrying out monitoring dangerous buildings to ensure they are safe                                | Destroy 4 years after last action   | <ul style="list-style-type: none"> <li>Monitoring results/inspection records</li> </ul>              | Hard Copy               | Statutory       | Head of Relevant Service                                 |
| The process of monitoring of areas where employees and persons are likely to have become in contact with asbestos | Destroy 50 years from last action or at age 75 years whichever is greater | <ul style="list-style-type: none"> <li>Property asbestos files</li> <li>Asbestos register</li> </ul> | Electronic or Hard Copy | Statutory       | Estates and Facilities Manager                           |

## Corporate Policy on Document Retention and Document Management

| Functional Description   | Retention Action  | Examples of Records  | Format                  | Notes     | Responsible Officer                                      |
|--|---|--|-------------------------|-----------|--|
| The process of monitoring of areas where employees and persons are likely to have come in contact with radiation | Destroy 40 years from last action   | <ul style="list-style-type: none"> <li>Radiation monitoring</li> </ul>   | Electronic or Hard Copy | Statutory | Estates and Facilities Manager                           |
| The process to assess the level of risk  | Destroy 4 years from assessment<br><br>If an incident/accident occurs retain most recent and following risk assessment until 4 years after the individual involved has turned 18. | <ul style="list-style-type: none"> <li>Risk Assessment</li> </ul>  | Hard Copy               | Statutory | Relevant Head of Service                                 |
| The process that records injuries to adults & Children   | Destroy 4 years from closure<br>For Children destroy 4 years after they turn 18.  | <ul style="list-style-type: none"> <li>Accident books</li> </ul>   | Hard Copy               | Statutory | Relevant Head of Service                                 |
| <b>Community Safety</b>  |   |  |                         |           |  |
| The administration of community safety services such as ASBOs.   | Destroy 6 years from closure  | <ul style="list-style-type: none"> <li>Case Files</li> <li>E-Cins Reports</li> <li>Safeguarding reports</li> </ul> | Electronic              |           | Head of Community Development and Environmental Services |

## Corporate Policy on Document Retention and Document Management

| Functional Description  | Retention Action   | Examples of Records   | Format                  | Notes  | Responsible Officer                                      |
|---|--|---|-------------------------|--|--|
| The administration of the Violence at Work Register   | Reviewed on a 6 monthly basis and updated as threat is reduced/removed | <ul style="list-style-type: none"> <li>Violence at work register</li> </ul>   | Electronic              |  | Head of Community Development and Environmental Services |
| The recording of CCTV Footage   | 31 days  | <ul style="list-style-type: none"> <li>Footage recorded from the Councils CCTV systems</li> </ul>   | Electronic              | May be stored longer for a legitimate legal purpose or claim | Head of Community Development and Environmental Services |
| <b><u>Enforcement Certification</u></b>   |  |   |                         |  |  |
| The administration of applications, registration, certification and licences in relation to Local Authorities registration requirements | Destroy 2 years after registration on entitlement elapses              | <ul style="list-style-type: none"> <li>Applications for Animal Registration</li> <li>Applications for registration of a business premises</li> <li>Application for release of animals impounded</li> <li>Registers</li> <li>Certificates of Registration</li> <li>Animal movement licenses</li> <li>Gaming</li> <li>Fire certification</li> <li>Disabled parking permits</li> <li>Registration to sell poison</li> <li>Market Stall Licences</li> </ul> | Electronic or Hard Copy | Statutory  | Licensing Manager / Marketing Manager                    |

## Corporate Policy on Document Retention and Document Management

| Functional Description   | Retention Action   | Examples of Records  | Format                     | Notes              | Responsible Officer      |
|--|--|--|----------------------------|--------------------|--------------------------|
| The process involved in licensing sites for the holding or use of toxic or hazardous substances (Inc. petroleum, agricultural chemical products or herbicides) | Permanent  | <ul style="list-style-type: none"> <li>• Diesel Licenses</li> <li>• Petroleum Licenses</li> <li>• Health and Safety Licenses</li> <li>• Hazardous substances</li> <li>• Contamination land/ pollution registers</li> </ul>   | Electronic or<br>Hard Copy | Common<br>Practice | Licensing Manager        |
| The administration of applications for Hackney Carriage and Private Hire vehicles  | 3 years<br><br>DBS records to be destroyed 6 months after decision | <ul style="list-style-type: none"> <li>• Application file</li> <li>• DBS records</li> </ul>  | Electronic or<br>Hard Copy | Common<br>Practice | Licensing Manager        |
| The administration of applications for Premises and Personal Licences  | Destroy when no longer valid                                       | <ul style="list-style-type: none"> <li>• Application file</li> <li>• Licence</li> </ul>  | Electronic or<br>Hard Copy | Common<br>Practice | Licensing Manager        |
| <b>Notification</b>  |  |  |                            |                    |                          |
| The process of issuing notices to citizens with respect to particular responsibility   | Destroy 2 years after the 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> <li>• Noise abatement notices</li> </ul> | Hard Copy                  | Common<br>Practice | Relevant Head of Service |

## Corporate Policy on Document Retention and Document Management

| Functional Description   | Retention Action                  | Examples of Records  | Format                   | Notes           | Responsible Officer                                      |
|--|-----------------------------------|--|--------------------------|-----------------|--|
| <b><u>Investigating, Inspection and Monitoring</u></b>   |                                   |  |                          |                 |  |
| The process of investigation, monitoring of inspection laws in the responsibility of the local authority | Destroy 7 years after last action | <ul style="list-style-type: none"> <li>Site visit reports, statements, photographs, exhibits</li> </ul>          |                          |                 | Relevant Head of Service                                 |
| <b><u>Car Park Enforcement</u></b>   |                                   |  |                          |                 |  |
| The process of handling parking enforcement notices and appeals  | 7 years                           | <ul style="list-style-type: none"> <li>Parking Enforcement Notices</li> <li>Appeal case files</li> </ul>         | Electronic               |                 | Head of Community Development and Environmental Services |
| <b><u>Cemeteries and Crematoria</u></b>  |                                   |  |                          |                 |  |
| Summary management systems that record the location and occupancy of deceased individuals                | Permanent                         | <ul style="list-style-type: none"> <li>Internment Register</li> <li>Lair Register</li> <li>Lair Plans</li> </ul> | Hard Copy                | Common Practice | Head of Environmental Services & Community Development   |
| The process of regulation of burials and cremations  | Destroy 5 years after last action | <ul style="list-style-type: none"> <li>Permits</li> <li>Applications</li> <li>Orders</li> </ul>                  | Electronic/<br>Hard Copy | Common Practice | Head of Environmental Services & Community Development   |

## Corporate Policy on Document Retention and Document Management

| Functional Description  | Retention Action                  | Examples of Records | Format                   | Notes           | Responsible Officer                                    |
|---|-----------------------------------|---------------------|--------------------------|-----------------|--|
| <b><u>Waste Management</u></b>  |                                   |                     |                          |                 |  |
| The process of arranging the collection or transportation of household waste  | Destroy 2 years after last action |                     | Electronic/<br>Hard Copy | Common Practice | Head of Environmental Services & Community Development |
| The process of arranging the collection or transportation of controlled waste | Destroy 6 years after last action |                     | Electronic/<br>Hard Copy | Common Practice | Head of Environmental Services & Community Development |

### **PLANNING AND LAND USE:**

| Functional Description   | Retention Action                    | Examples of Records  | Format    | Notes           | Responsible Officer |
|--|-------------------------------------|--|-----------|-----------------|---------------------|
| <b><u>Planning Scheme Development and Amendment</u></b>  |                                     |  |           |                 |                     |
| The activity of developing a vision and strategic direction regarding existing and future land within the municipality and the future development of local and town centre plans | Permanent until Plan is superseded. | <ul style="list-style-type: none"> <li>• Local Plan</li> <li>• Local Development Framework</li> <li>• Consultation Strategy</li> <li>• Action Area Plan</li> </ul> | Hard Copy | Common Practice | Policy Manager      |

## Corporate Policy on Document Retention and Document Management

| Functional Description  | Retention Action  | Examples of Records   | Format                  | Notes           | Responsible Officer |
|---|---|---|-------------------------|-----------------|---------------------|
| The activity of consultation to gain approval for the Local Plan  | Destroy 15 years after decision.<br>Offer controversial or high profile schemes to archivist. | <ul style="list-style-type: none"> <li>• Consultation</li> <li>• Documents and replies</li> <li>• Inquiries and objections made by members of the public</li> <li>• Public Inquiry documents</li> </ul>                                     | Electronic or Hard Copy | Common Practice | Policy Manager      |
| The activity of recording information on historical buildings, monuments and ecology at a specific site               | Permanent   | <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> | Electronic or Hard Copy | Common Practice | Policy Manager      |
| The activity of establishing planning scheme controls and providing for them to be amended                            | Destroy when succeeding surveys undertaken  | <ul style="list-style-type: none"> <li>• Land use surveys</li> </ul>  | Electronic or Hard Copy | Common Practice | Policy Manager      |
| The process of receiving, considering and responding to submissions and objections to planning schemes and amendments | Destroy 15 years after decision.<br>Offer controversial or high profile schemes to archivist  | <ul style="list-style-type: none"> <li>• Application consultation</li> <li>• Objections</li> <li>• Inquiries – Public etc.</li> <li>• Archaeological advice/conditions</li> </ul>   | Electronic or Hard Copy | Common Practice | Policy Manager      |



## Corporate Policy on Document Retention and Document Management

| Functional Description   | Retention Action  | Examples of Records  | Format                  | Notes           | Responsible Officer      |
|--|---|--|-------------------------|-----------------|--------------------------|
| The process of controlling development of areas through applications for planning permission | Permanent   | <ul style="list-style-type: none"> <li>• Application consultation</li> <li>• Documents and replies</li> <li>• enquires and objections made by members of the public</li> <li>• Public Inquiry documents</li> <li>• Planning application files and Plans</li> <li>• Correspondence relating to any objections</li> <li>• Hearing papers</li> <li>• Planning application register</li> </ul> | Electronic or Hard Copy | Common Practice | Development Manager      |
| The process of maintaining the countryside and developing open spaces for public amenities   | Destroy files 7 years after administrative use is concluded.<br><br>Refer all files relating to policy to the archivist | <ul style="list-style-type: none"> <li>• Country parks and nature reserve development plans and correspondence.</li> <li>• Land purchase agreements</li> </ul>   | Electronic or Hard Copy | Common Practice | Corporate Director       |
| <b><u>Planning Enforcement</u></b>   |   |  |                         |                 |                          |
| Tree Preservation Orders   | Permanent   | <ul style="list-style-type: none"> <li>• Tree Preservation Orders</li> </ul>   | Hard Copy               | Statutory       | Development Manager      |
| Planning Enforcement Investigations  | Permanent   | <ul style="list-style-type: none"> <li>• Planning Enforcement Notices</li> <li>• Breach of Condition Notices</li> <li>• Stop Notices</li> <li>• Register of Planning Enforcement</li> </ul>  | Hard Copy               | Statutory       | Development Manager      |
| <b><u>Planning Scheme Regulation</u></b>   |   |  |                         |                 |                          |
| The summary management of planning scheme regulation   | Permanent   | <ul style="list-style-type: none"> <li>• Building Control Registers</li> </ul>   | Hard Copy               | Common Practice | Building Control Manager |

## Corporate Policy on Document Retention and Document Management

| Functional Description  | Retention Action  | Examples of Records  | Format                     | Notes              | Responsible Officer         |
|---|---|--|----------------------------|--------------------|-----------------------------|
| The process of approving building applications in relation to listed or other significant buildings | Permanent   | <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>                       | Electronic or<br>Hard Copy | Common<br>Practice | Building Control<br>Manager |
| The process of approving building applications for all other buildings                              | Destroy 15 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> | Electronic or<br>Hard Copy | Common<br>Practice | Building Control<br>Manager |
| The process of inspecting building work for the purpose of ensuring compliance                      | Destroy 10 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>  | Hard Copy                  | Common<br>Practice | Building Control<br>Manager |
| The process of enforcing building or land regulations   | Destroy 3 year after compliance with Enforcement Notice               |  | Electronic or<br>Hard Copy | Common<br>Practice | Building Control<br>Manager |

## Corporate Policy on Document Retention and Document Management

| Functional Description  | Retention Action   | Examples of Records   | Format                     | Notes              | Responsible Officer    |
|---|--|---|----------------------------|--------------------|------------------------|
| <b><u>Planning and Development</u></b>  |  |   |                            |                    |                        |
| The process of receiving, considering and responding to submissions and objections to planning schemes and amendments | Destroy 15 years after decision.<br>Offer controversial or high profile schemes to the archivist | <ul style="list-style-type: none"> <li>• Enquiries</li> <li>• Consultation documents</li> <li>• Objections</li> <li>• Correspondence</li> </ul> | Electronic or<br>Hard Copy | Common<br>Practice | Development<br>Manager |
| The process of enforcing infrastructure and transport regulations   | Destroy 3 years after compliance with enforcement notice   |   | Electronic or<br>Hard Copy | Common<br>Practice | Development<br>Manager |