

Retention Guidelines for Carmarthenshire County Council

A Guide produced by Records
Management Unit, Carmarthenshire
County Council

Based on the Guide produced by
The Records Management Society of Great Britain

Introduction by the Keeper of Public Records

Records management is at the heart of the *Modernising Government* agenda. Electronic records management underpins electronic government services. If public authorities cannot undertake the effective management of their records and information - particularly keeping them organised and accessible for as long as they are needed (but no longer) - it will be hard to sustain electronic services in which the public can have trust.

The effective management of records in all formats depends as much on their efficient disposal as on their long-term preservation. Good records disposal policies are essential to good records management. I am, therefore, extremely pleased to see the publication of these guidelines on the retention of records of local authorities. Government as a whole must be consistent in the way it handles and disposes of its information. These guidelines, which have been drawn up from best practice and with the help of experienced practitioners in the profession, will give local authorities a base line from which they can build their own disposal policies. They will assist local records services and archives in meeting local needs while providing a consistent approach to record keeping across Government.

The guidelines are arranged by function and can thus be adapted to the widely varying structure of local authorities. This is extremely important in the context of freedom of information and data protection compliance; the public will expect equality of openness and availability across the government sector, and stakeholders will expect that their interests are being safeguarded. These guidelines are instrumental in achieving these aims, and I heartily endorse their use.

Sarah Tyacke

Keeper of Public Records

Table of Contents

Paragraph

Acknowledgements

Part 1 Establishment of the Guidelines

- 1.1.0 Scope of the Guidelines
- 1.2.0 Limitation of Scope
- 1.3.0 Objectives of the Retention Guidelines
- 1.4.0 Transfer of Records to Archival Storage
- 1.5.0 Enactment of Standard for a Local Authority
- 1.6.0 Destruction of Records
- 1.7.0 Standard Operating Procedure (SOP)
- 1.8.0 Reviewing the Schedule
- 1.9.0 Further Information

Part 2 Explanation of Retention Guideline Headings

- 2.1.0 Reference number
- 2.2.0 Function
- 2.3.0 Function description
- 2.4.0 Retention action
- 2.5.0 Examples of records
- 2.6.0 Notes

Part 3 The Disposal Guidelines (with index)

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1. Establishment of the Guidelines

1.1.0 Scope of the Guidelines

- 1.1.1 These Retention Guidelines have been issued to support local authorities in the areas of Data Protection, Freedom of Information and the Local Government Act. It has been issued by the Records Management Society of Great Britain after consultation with a number of local government authorities, their agencies and other experts in the field.
- 1.1.2 The Guidelines were developed to reflect an understanding of the administrative processes that give rise to record creation. This is intended to make the Guidelines independent of any particular format of record that might be historically created (e.g. card, register) or media (e.g. paper, electronic) and prolong the Guidelines' period of application.
- 1.1.3 The Guidelines are intended to cover the continuum of records and information from creation through to destruction or for retention for historical or research purposes.
- 1.1.4 Records sentenced for destruction under the Guidelines may be destroyed in accordance with the provisions of the Guidelines. Backup copies stored on alternative media (server/microfilm/paper) should also be destroyed. This is vital to ensure compliance with the requirements of Data Protection and Freedom of Information legislation.
- 1.1.5 The local authority or the agency acting for it should hold notification of the records destroyed in accordance with the Guidelines on its behalf. See Section 9 for how long these should be kept.
- 1.1.6 Records for permanent preservation should be passed to the local authority's Archivist or its agency's place of deposit. In most cases this will be the appropriate local Record Office.

1.2.0 Limitation of Scope

- 1.2.1 These Guidelines should only be used by local authorities for the disposal of common functional and housekeeping records as described in the Guidelines. It should be taken as a baseline for each authority to interpret and apply appropriately in accordance with local practice. These Guidelines are not intended to cover school records, however the majority of school administration records can be sentenced under these Guidelines.

1.3.0 Objectives of the Retention Guidelines

- 1.3.1 The aims of the Guidelines are to:
- Assist in identifying records that may be worth preserving permanently as part of a local authority's archives.
 - Prevent the premature destruction of records that need to be retained for a specified period to satisfy legal, financial and other requirements of public administration.
 - Provide consistency for the destruction of those records not required permanently after specified periods.
 - Promote improved Records Management practices within local government.

1.4.0 Transfer of Records to Archival Storage

- 1.4.1 Local authorities wishing to transfer permanent records to archival custody should contact the Archivist/Local History Officer at the appropriate County Record Office/Archive for further information on transfer procedures. The collection policies of individual archives vary; the identification of classes of records here as suitable for archives are for guidance only.
- 1.4.2 The Data Protection Act provides an exemption for information about identifiable living individuals that is held for research, statistical or historical purposes to be held indefinitely, provided specific requirements are met. It is the responsibility of the Archivist to ensure that this is so.
- 1.4.3 Records identified in this schedule as '**permanent**' are marked '**Offer to Archivist**'. The Archivist may choose to select a sample of the records for permanent preservation in the archives; the remainder should be destroyed as specified in the Guidelines. The sample may be random, selective or purposeful.
- 1.4.4 '**Offer to Archivist for review**' is used to indicate record classes where the Archivist will not usually be interested in retaining the class of records, but may wish to retain those concerning high profile or controversial policies/projects.
- 1.4.5 Records no longer required for administrative use may still retain sensitive information. The Archivist should be informed of sensitivity at the time of transfer of the material to the archives, and an appropriate closure period agreed. The closure period should comply with Freedom of Information legislation and the authority's policy.

1.5.0 Enactment of Standard for a Local Authority

- 1.5.1. As there is no legal basis for the enforcement and support of these Guidelines, each local authority needs to ensure that the actions shown in the Guidelines are ratified internally within the local authority or its agency.
- 1.5.2. Ratification can be achieved by obtaining signatures of the Chief Executive and or Internal Audit.

1.5.3. This Retention and Disposal Schedule has been authorised by

Signature of the Chief Executive Officer

..... Date of Issue.

Chief Executive Officer

OR

Signature of the Chief Internal Auditor

..... Date of Issue.

Chief Internal Auditor

1.6.0 Destruction of Records

- 1.6.1 Whenever there is the possibility of litigation, the records and information that are likely to be affected should not be amended or disposed of until the threat of litigation has been removed.
- 1.6.2 When records identified for disposal in the Guidelines are destroyed, a register of such records needs to be kept. For records not covered by the Guidelines contact the record management service for further advice. It is not sufficient to document that a quantity of records had been destroyed on a certain date. Enough details should be retained to identify which records have been destroyed.
- 1.6.3 It is essential that any paper records destroyed, which contain 'personal' or 'sensitive' information, are either shredded or destroyed via the confidential waste service. 'Personal data' is regarded as any information from which a person can be identified, from names and addresses to photographs and student ID numbers. 'Sensitive data' is anything relating to: political opinions; racial or ethnic origin; religious or similar beliefs; trade union membership; physical/mental health or condition; sexual life; offences or criminal proceedings.

1.7.0 Standard Operating Procedure (SOP)

- 1.7.1 There are some records that do not need to be kept at all; Standard Operating Procedure defines types of records which staff may routinely destroy in the normal course of business. However, the retention and disposal schedule must still contain reference and instructions referring to them.
- 1.7.2 SOP usually applies to information that is duplicated, unimportant or only of short-term facilitative value. Unimportant records or information include:
 - 'with compliments' slips
 - catalogues and trade journals
 - telephone message slips

- non-acceptance of invitations
- trivial electronic mail messages or notes that are not related to agency business
- requests for stock information such as maps, plans or advertising material
- out-of-date distribution lists
- working papers which lead to a final report

1.7.3 Duplicated and superseded material such as stationery, manuals, drafts, forms, address books and reference copies of annual reports may be destroyed under SOP. Electronic copies of documents where a hard copy has been printed and filed, and thermal paper facsimiles after making and filing a photocopy, are also covered.

1.7.4 SOP should not be applied to records or information that can be used as evidence – to prove that something happened. If you are in doubt about what information is required consult with your legal unit.

1.7.5 All of these may be destroyed by standard operating procedure that should be part of any ISO 9000 (Quality Management) system if applicable.

1.8.0 Reviewing the Schedule

This Guideline prescribes minimum and permanent retention periods. This guideline will also be reviewed at regular intervals.

1.9.0 Further Information

- *Records Management Society of Great Britain* <http://www.rms-gb.org.uk>
- *Public Record Office* <http://www.pro.gov.uk>
- *Society of Archivists* <http://www.archives.org.uk>
- *Information Commissioner* <http://www.dataprotection.gov.uk>
- *Keith Batchelor (Batchelor Associates)* <http://surf.to/keith.batchelor>

Part 2. Explanation of Retention Guidelines Headings

These Retention Guidelines are divided into sections of administrative functions that are commonly undertaken by local government.

2.1.0 Reference number

2.1.1 The function or entry reference number provides citation and ease of reference.

2.2.0 Function

2.2.1 The name of each function is specified in this entry. This relates to a group of records that perform the same activity.

2.3.0 Function Description

2.3.1 The Schedule provides notes that define each function in terms of related activities.

2.3.2 The Schedule may also include instructions or guidelines relating to weeding, sampling disposition provisions, information on duplication of record content in other classes and cross-references to other entries within the Schedule.

2.4.0 Retention Action

2.4.1 This entry provides the archival status of each process being either permanent or temporary. In relation to the temporary status of records the entry also provides a retention period or sentence specifying how long the records should be kept prior to destruction and the activity, transaction or event to which the retention period or sentence should be tied.

2.5.0 Examples of Records

2.5.1 This section provides common examples of the type of records included within the particular function. This list is not exhaustive and Local Authorities should feel free to annotate their copy of the Schedule with local names of the examples listed if required.

2.6.0 Notes

2.6.1 This indicates if the retention action is common practice or statutory.

2.7.0 Glossary of terms

Administrative Use. When business use has been ended or the file has been closed.

Closure. ‘ Destroy 'x' years from closure ’. A record/file is closed when it ceases to be active. After closure, no new papers/information should be added to the record. Triggers for closure of

a file include: reaching an unmanageable size; covering a period of 'x' years or more; no records added for 'x' period of time; no action taken after 'x' period of time.

Closure period. Specified period of time during which the record is subject to restrictions on provision of access to staff and/or the public may be dictated by statutory requirements or by the authority's policy. Any closure period should comply with current legislation on access to local government information - including the Data Protection and Freedom of Information Acts.

Common practice. Standard practice followed by those local authority records managers who are members of the Records Management Society.

Last action. ' Destroy 'x' years after last action '. Date of most recent amendment / addition / deletion of information.

Permanent. Records which must be kept indefinitely [or for approximately 100 years] for legal and/or administrative purposes, and/or are of enduring value for historical research purposes and so suitable for transfer to the authority's archive or place of deposit.

Place of deposit. Usually the local authority's Record Office.

Part 3 The Disposal Guidelines - Contents

Ref No.	Description
1.	DEMOCRATIC PROCESSES
	Elections
1.1-1.2	Preparations
1.3	Results
	Council and Committee Meetings
1.4-1.5	Partnership and Agency Meetings
1.6-1.7	External Committee Meetings
1.8	Honours Submissions
1.9	Political Parties Papers
2.	MANAGEMENT AND ADMINISTRATION
2.1-2.4	Corporate Planning and Reporting
2.5	Statutory Returns
2.6-2.7	Policy, Procedures, Strategy and Structure
2.8-2.9	Public Consultation
2.10-2.12	Information Management
2.13-2.16	Enquiries and Complaints
2.17-2.18	Quality and Performance Management
	Public Relations
2.19-2.20	Publications
2.21-2.22	Media Relations
2.23	Marketing
2.24-2.25	Civic and Royal Events
3.	CLIENT SERVICES
	Case Management
3.1-3.5	'Looked after' Children
3.6-3.9	Child Protection
3.10-3.12	Children's Services: General
3.13	Special Education Needs
3.14-3.15	Family Support
3.16-3.18	Adult and Elderly Case Files
3.19	Admissions and Exclusions
3.20-3.23	Programme Management and Development
3.24-3.25	Residential Homes
3.26-3.28	Housing Provision
4.	LEGAL AND CONTRACTS
4.1	Litigation
4.2	Advice
4.3	Agreements
4.4	Conveyance
4.5	Registration
	Contracts and Tendering
4.6	Pre Contract Advice
4.7	Specification and Contract Development
4.8	Tender Issuing and Return

Ref No.	Description
4.8-4.11	Evaluation of Tender
4.12	Post Tender Negotiation
4.13	Awarding of Contract
4.14-4.15	Contract Management
4.16	Tenancy Agreements
5.	STATUTORY SERVICES
	Registrars of Births, Marriages and Deaths
5.1-2	Registration
5.3	Marriage services
5.4	Notices
	Coroner
5.5	Reported deaths
5.6-7	Coroner's Case Work
5.8	Treasure Trove
5.9	Magistrates
6.	HUMAN RESOURCES
6.1-6.4	Personnel Administration
6.5-6.8	Employee and Industrial Relations:
6.9	Equal Employment Opportunities
6.10	Occupational Health
6.11	Recruitment
6.12-6.13	Staff Monitoring
6.14-6.15	Staff Retention
6.16	Termination
6.17-6.21	Training and Development
6.22-6.25	Appointment of Statutory Officers
7.	FINANCIAL MANAGEMENT
	Accounts and Audit
7.1-7.2	Reporting
7.3-7.8	Financial Transactions Management
7.9-7.10	Payroll
	Financial provisions
7.11-7.13	Budgets and Estimates
7.14-7.15	Loans
7.16-7.19	Housing
7.20	Council Tax Valuation
7.21	Property History
7.22	Rates and Local Authorities Tax Correspondence
7.23-7.24	Summary Assets Management
7.25-7.28	Asset Monitoring and Maintenance
7.29	Asset Acquisition and Disposal
8.	PROPERTY AND LAND MANAGEMENT
8.1	Property and Land Management
8.2-3	Property Acquisition and Disposal
8.4-8.7	Property Development and Renovation

Ref No.	Description
8.8-8.9	Leasing and Occupancy
8.10	Housing Provision
8.11-8.13	Systems Management
8.14-8.17	Transport Management
	Insurance
8.18-8.20	Policy Management
8.21	Claims Management
9.	GENERAL PUBLIC SERVICES
	Health and Safety
9.1-9.10	Inspections and Assessments
9.11-9.12	Emergency Planning
9.13-9.14	Major Incident
	Enforcement Certification and Prosecution
9.15-9.18	Registration, Certification and Licensing
9.19	Notification
9.20	Investigation Inspection and Monitoring
9.21	Prosecution
	Bye-laws
9.22	Enactment
9.23	Administration and Enforcement
9.24-9.25	Cemeteries and Crematoria
	Waste Management
9.26-9.27	Collection
9.28-9.30	Disposal of Waste
10.	PLANNING AND LAND USE
10.1-10.7	Planning Scheme Development and Amendment
10.8-10.13	Planning Scheme Regulation
11.	INFRASTRUCTURE AND TRANSPORT
11.1-11.5	Planning and Development
11.6	Traffic Management
11.7	Design and Construction
11.8	Infrastructure Management and Maintenance
11.9	Road Maintenance
11.10-11.11	Public Transport
	APPENDIX
Appendix A	Lord Chancellor's Retention Schedule for Magistrates' Courts (see 28.1.0)

Democratic Processes

Ref No.	Function Description	Retention Action	Examples of Records	Notes
Elections				
Preparation				
1.1	Summary certification of those eligible to vote	Permanent. Offer to Archivist after administrative use is concluded	<ul style="list-style-type: none"> Electoral Register 	Common practice
1.2	Voting (Local elections only)	Destroy 6 months from close of poll	<ul style="list-style-type: none"> Ballot papers 	Statutory
Results				
1.3	Declaration of results (local elections only)	Destroy 6 months from date of election	<ul style="list-style-type: none"> Consolidated returns of votes received 	Statutory
Council and Committee Meetings				
1.4	The process of preparing business for Council consideration and making the record of discussion, debate and resolutions	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> Council minutes Council agenda and business papers Council notice papers and proceedings Indexes Committee minutes Registers of delegations to Special Committees 	Common practice

Democratic Processes

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

Democratic Processes

Ref No.	Function Description	Retention Action	Examples of Records	Notes
Honours and Submissions				
1.8	The process of preparing of honours submission	Destroy 5 years after last action	<ul style="list-style-type: none"> • Honours nomination form • Covering documentation • Letters of support • Referral for comment from lord lieutenant 	Common practice
POLITICAL PARTIES PAPERS				
1.9	The process of undertaking representation of the local authority - local authority representatives	Destroy 3 years after last action	<ul style="list-style-type: none"> • Leader of opposition papers • Leader of council papers 	Common practice

Management and Administration

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
CORPORATE PLANNING AND REPORTING				
2.1	The corporate planning and reporting activities of local authorities	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Corporate Plans • Strategy Plans • Business Plans • Annual Reports 	Common practice
2.2	The process of preparing business for strategic consideration and making the record of discussion, debate and resolutions	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Strategic management team minutes 	Common practice
2.3	The process of preparing business for cross departmental consideration and making the record of discussion, debate and resolutions	Destroy 3 years from closure		Common practice
2.4	The process of preparing business for Unit/Team consideration and making the record of discussion, debate and resolutions	Destroy 3 years from closure		Common practice

Management and Administration

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
2.5	<p>Statutory returns</p> <p>The process of preparing information to be passed on to central government as part of statutory requirements</p>	Destroy 7 years from closure	<ul style="list-style-type: none"> • Reports to central government 	Common practice
2.6	<p>Policy, Procedures, Strategy and Structure</p> <p>Activities that develop policies, procedures, strategies and structures for the local authorities</p>	<p>Permanent. Offer to Archivist.</p> <p>Transfer to place of deposit after administrative use is concluded.</p>	<ul style="list-style-type: none"> • Policy, procedure, precedent, instructions • Organisation charts • Records relating to policy implementation and development • Education plan • Asset management plan • Children' s services plan • Community strategy • Community plan • Community safety plan 	Common practice
2.7	<p>The process of monitoring and reviewing strategic plans, policies or procedure to assess their compliance with guidelines</p>	Destroy 5 years from closure		Common practice

Management and Administration

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	Public Consultation			
2.8	The process of consulting the public and staff in the development of significant policies of the local authority	Destroy 5 years from closure		Common practice
2.9	The process of consulting the public and staff in the development of minor policies of the local authority	Destroy 1 year from closure		Common practice
	Information Management			
2.10	The activity whereby standards, authorities, restraints and verifications are introduced and maintained to manage information effectively	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Classification schemes • Registers • Indexes • Authorised lists of file headings 	Common practice
2.11	The management of collections of records transferred to the archives	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Accession registers • Depositor files 	Common practice

Management and Administration

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
2.12	The process that records the disposal of records	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> Disposal certificates 	Common practice
<p>Enquiries, Complaints, Freedom of Information Act and Data Protection Act requests</p>				
2.13	The management in summary form of enquiries, complaints and requests directed to council	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded.	<ul style="list-style-type: none"> Indexes Registers 	Common practice
2.14	The management of enquiries, submissions and complaints which result in significant changes to policy or procedures	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> Reports Returns Correspondence 	Common practice

Management and Administration

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
2.15	The management of detailed responses on council actions, policy or procedures	Destroy 6 years after administrative use is concluded	<ul style="list-style-type: none"> • Reports • Returns • Correspondence • Ombudsman • Information • Commissioner 	Common practice
2.16	The management of routine responses on council actions, policy or procedures	Destroy 2 years after administrative use is concluded	<ul style="list-style-type: none"> • Printed material • Form letters 	Common practice
Quality and performance management				
2.17	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"> • Best Value Review 	Common practice
2.18	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"> • Assessment form 	Common practice

Public relations

Management and Administration

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
Publications				
2.19	The process of designing setting information for publication	Destroy 3 years from last action		Common practice
2.20	The published work of the local authority	Destroy after administrative use is concluded Note: One copy from the initial print run should go directly to the archive.		Common practice
Media Relations				
2.21	Process of interaction with the media	Destroy 3 years from closure		Common practice
2.22	Media publications concerning local authorities	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Press cuttings • Media reports 	Common practice

Marketing

Management and Administration

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
2.23	The process of developing and promotion of local authorities campaigns and events	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded		Common practice
Civic and Royal Events				
2.24	The recording of ceremonial events and civic occasions	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Visitors' book • Audio tapes • Video tapes • Photographs 	Common practice
2.25	The process of organising a ceremonial event or civic occasions	Destroy 7 years after administrative use is concluded		Common practice

Management and Administration

General Disposal Guidelines for Local Authorities

Records Management Society of Great Britain

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Client Services

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
Case Management				
3.1	"Looked after" children Systems, which manage children, looked after by the local authority, in summary form	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Children's home register 	Common practice Closed for 50 years
3.2	Process involving individual case management of children looked after by the local authority This includes children and young people: <ol style="list-style-type: none"> 1. Adopted via the local authority 2. In children's home 3. Fostered by local authority 4. On custodianship orders 5. On residence orders 	Destroy 75 years from 18th Birthday	<ul style="list-style-type: none"> • Young persons being looked after files • Looked after children client files • Residential care children's file • Adoption files • Privately fostered children's file • Guardian ad litem 	Common practice, Statutory basis
3.3	Children and young people subject to supervision orders	Destroy 21 years from DOB		

Client Services

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
3.4	Process involved in checking the suitability of people to become adoptive parents or foster carers	Destroy 25 years from closure	<ul style="list-style-type: none"> Adoptive parent counselling files Approved adopters 	Common practice
3.5	Process involving individual case management of families or adults who have fostered children in their care Note: Foster care financial files see Financial management	35 years after carer has ceased to foster	<ul style="list-style-type: none"> Foster carer files Supported lodging files 	Common practice
3.6	Child Protection Process involving summary case management of children under the protection of local authority.	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> Child Protection Register 	Common practice closed for 70 years
3.7	Process involving summary case management of adults convicted of Schedule 1 offences	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> Schedule 1 offenders 	Common practice closed for 70 years

Client Services

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
3.8	<p>Process involving individual case assessment, investigation, registration, and management of children involved in child protection:</p> <ul style="list-style-type: none"> a) investigated, conferenced and registered b) core assessment c) investigated but not conferenced and registered 	<p>Destroy 35 years from closure</p>	<ul style="list-style-type: none"> • Child protection case files which have <ul style="list-style-type: none"> a) Conference minutes b) Core assessment c) Investigation d) Registration 	<p>Common practice</p>
3.9	<p>Process involving individual cases involving initial assessment and provision of advice in regards child protection</p>	<p>Destroy 6 years from closure</p>	<ul style="list-style-type: none"> • Child protection files <ul style="list-style-type: none"> a) Initial assessment b) Advice only 	<p>Common practice</p>
3.10	<p>Case management - Children's Services – General</p> <p>Children in need (who have not been adopted or looked after and who have not been the subject of a child protection inquiry)</p>	<p>Destroy 10 years from closure</p>		<p>Common practice</p>

Client Services

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
3.11	Process involving individual case management of services or support to unaccompanied minors (eg Asylum Seekers) if not “looked after”	Destroy 10 years from closure		Common practice
3.12	Process involving individual case management of services or support to youth.	Destroy 25 years from DOB. Or destroy 10 years from last contact	<ul style="list-style-type: none"> • Youth Service client files • Youth Justice 	Common practice
3.13	Special Educational Needs Process involving in assessing and providing individual support for children who have need of special education support	Destroy 35 years from closure	<ul style="list-style-type: none"> • SEN files 	Common practice
3.14	Education Welfare Process in providing individual support for children to receive the opportunity for appropriate education and attend school.	Destroy 21 years from closure	<ul style="list-style-type: none"> • EWO files 	Common practice
3.15	Educational Psychology			

Client Services

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
3.15	Process involving in assessing and supporting individual children and promoting development and learning.	Destroy 35 years from closure	Educational Psychology Files	Common practice
3.16	Adult and Elderly Case Files Process involving summary case management of services or support to adults	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded		Common practice
3.17	Process involving in assessing and providing individual support for people with mental illness	Destroy 10 years after last contact	<ul style="list-style-type: none"> • Mental Health files 	Common practice

Client Services

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
3.18 (i)	Process involving in assessing and providing individual support or services for all other people	Destroy 6 years after last contact .	<ul style="list-style-type: none"> • Day service provision • Learning disability • Physical disabilities • Sensory disability • Rehabilitation and discharge • Communication support • Drug and alcohol misuse • Occupational therapy • Home care 	Common practice
Admissions and Exclusions				
3.19	Case Files (including appeals)	Destroy 25 years from last action	<ul style="list-style-type: none"> • Appeal files • Exclusion files 	Common practice
Programme Management and Development				
3.20	Process involved in development of services or programmes for children	7 years from closure		Common practice
3.21	Process involved in provision of services or programmes to support the development of children	25 years from closure	<ul style="list-style-type: none"> • Attendance records • Course reports 	Common practice

Client Services

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
3.22	Process involved in provision of a services or programmes to support the development of young persons	15 years from closure		Common practice
3.23	Process involved in provision of services or programmes to adults	7 years from closure		Common practice

Residential Homes

3.24	Summary management systems that manage children/adults housed by the local authority	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Children's/adults home Registers • Admissions registers • Discharge registers 	Common practice
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3.25	Documents relating to the operation of the establishment	25 years from closure of file	<ul style="list-style-type: none"> • Diaries • Rotas • Daily logs • Secure unit records 	Common practice
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Housing Provision

Client Services

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	The process of the allocation and management of welfare housing by the local authority and the associated issues of homelessness			
3.26	The registration of individuals housing applications	Permanent. Offer to Archivist.	<ul style="list-style-type: none"> • Council housing register 	Common practice
3.27	The process for applying for council housing (Unsuccessful applications only, successful applications will generally be placed on the tenancy file)	Destroy 7 years after closure	<ul style="list-style-type: none"> • Council housing Application forms and supporting material • Application for transfer of tenancy and supporting papers 	Common practice

Client Services

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

Legal and Contracts

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
Litigation				
4.1	The process of managing, undertaking or defending for or against litigation on behalf of the local authority	Destroy 7 years after last action. Major litigation – offer to Archivist for review	<ul style="list-style-type: none"> • Criminal case file • Civil case file • correspondence 	Common practice
4.2	The process of managing, undertaking or defending for or against litigation on behalf of the local authority	Destroy 15 years after last action.	Childcare case file	Common Practice
Advice				
4.3	The process of providing legal advice on a point of law.	Destroy 3 years after last action – unless a major precedent, then offer to Archivist for review		Common practice
Agreements				
4.4	Process of agreeing terms between organisations Note : this does not include contractual agreements	Destroy 6 years after agreement expires or is terminated	<ul style="list-style-type: none"> • Concordat 	Common practice Depends on value of agreement Mainly to do with agreements between public bodies, not in regard to contracts

Legal and Contracts

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
4.5	<p>Conveyance (see also Property Acquisition and Disposal) The process of changing ownership of land or property</p>	Destroy 12 years after closure	<ul style="list-style-type: none"> Conveyancing files 	Statutory
4.6	<p>Registration The process of registering title to land or property</p>	Destroy 3 years after closure	<ul style="list-style-type: none"> Registration files 	Common practice
4.7	<p>Contracts and Tendering Pre Contract Advice The process of calling for expressions of interest</p>	Destroy 2 years after contract let or not proceeded with	<ul style="list-style-type: none"> Expressions of Interest 	Common practice
4.8	<p>Specification and Contract Development The process involved in the development and specification of a contract</p>	<p><u>Ordinary Contracts</u> Destroy 6 years after the terms of contract have expired</p> <p><u>Contracts Under Seal</u> Destroy 12 years after the terms of contract have expired</p>	<ul style="list-style-type: none"> Tender specification Note: For project files containing drafts leading to a final version these records can be destroyed. 	Statutory

Legal and Contracts

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
4.9	<p>Tender Issuing and Return</p> <p>The process involved in the issuing and return of a tender</p>	<p>Destroy 1 year after start of contract</p>	<ul style="list-style-type: none"> • Opening notice • Tender envelope 	<p>Common practice</p>
4.10	<p>Evaluation of Tender</p>	<ul style="list-style-type: none"> • <u>Ordinary Contracts</u> Destroy 6 years after the terms of contract have expired • <u>Contracts Under Seal Destroy 12</u> years after the terms of contract have expired 	<ul style="list-style-type: none"> • Evaluation criteria 	<p>Statutory</p>

Legal and Contracts

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
4.11	Successful tender document	<ul style="list-style-type: none"> • <u>Ordinary Contracts</u> Destroy 6 years after the terms of contract have expired • <u>Contracts Under Seal</u> Destroy 12 years after the terms of contract have expired 	<ul style="list-style-type: none"> • Tender documents • Quotations 	Statutory
4.12	Unsuccessful tender documents	Destroy 1 year after start of contract	<ul style="list-style-type: none"> • Tender documents • Quotations 	Common practice
4.13	<p>Post Tender Negotiation</p> <p>The process in negotiation of a contract after a preferred tender is selected</p>	Destroy 1 year after the terms of contract have expired	<ul style="list-style-type: none"> • Clarification of contract • Post tender negotiation minutes 	Common practice

Awarding of contract

Legal and Contracts

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

Legal and Contracts

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
4.17	<p>Tenancy Agreements</p> <p>The process of awarding tenancies in welfare housing</p>	<p>a) <u>Ordinary Tenancy</u> Destroy 6 years after the terms of agreement have expired</p> <p>b) <u>Tenancy Under Seal Destroy 12</u> years after the terms of agreement have expired</p>	<ul style="list-style-type: none"> • Signed tenancy agreements • Sealed tenancy agreements 	Statutory

Statutory Services

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	Registrars of Births Deaths And Marriages			
	Registration			
5.1	Process of the summary registration of a birth, death or marriage	Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded	<ul style="list-style-type: none"> • Deaths register • Births register • Marriage register 	Common practice
5.2	Process of certification of the registration of a birth, death or marriage	Destroy 7 years after last action	<ul style="list-style-type: none"> • Birth certificate • Death certificate • Marriage certificate 	Common practice
	Marriage Services			
5.3	Process of conducting a marriage service	Destroy 3 years after last action		Common practice
	Notices			
5.4	Process of notification in relation to birth, death or marriage	Destroy 2 years after last action	<ul style="list-style-type: none"> • Wedding banns • Notice of marriage 	Common practice
	Coroners			
5.5	Summary registration of reported deaths	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Reported deaths register 	Set by Public Record Office

Statutory Services

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	<p>Coroner's case work For further information please refer to Home Office website www.homeoffice.gov.uk/circulars/1999/hoc9959.htm</p>			
5.6	The process and actions of inquiring into deaths which do not proceed to an inquest.	Destroy 15 years after last action	<ul style="list-style-type: none"> • Coroner's case files 	Set by Public Record Office
5.7	The process and actions of inquiring into deaths which proceed to an inquest	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Coroner's case files 	Set by Public Record Office Can be sampled according to <ul style="list-style-type: none"> • set a precedent in law or practice; • Relate to an individual, accident or crime subject to prolonged or repeated interest from the national media.
5.8	Treasure Trove The process and actions of Treasure inquests	Destroy 2 years after last action		Set by Public Record Office

Statutory Services

General Disposal Guidelines for Local Authorities

Records Management Society of Great Britain

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
5.9	Magistrates Refer to Lord Chancellor's publications (see Appendix. A)			

Human Resources

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
6.1	<p>Personnel administration</p> <p>Summary management systems that allow the monitoring & management of employees in summary form</p> <p><u>Note: The summary information that this record class attempts to capture is:-</u></p> <p>Name DOB Date of appointment Work history details Position/designation Titles & dates held</p>	<p>Permanent. Offer to Archivist for review.</p> <p>Transfer to place of deposit after administrative use is concluded</p>	<ul style="list-style-type: none"> • Employment Register – Permanent Staff • Employment Register – Temporary Staff • Employment Register – Casual Staff • Registers of personnel files • Personal History cards • Superannuation history card • Salary master record 	Common practice

Human Resources

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
6.2	<p>The process of administering employees to ensure that entitlements & obligations are in accordance with agreed employment requirements</p> <ul style="list-style-type: none"> • Records containing superannuation information 	<p>Destroy 6 years from date of last pension payment</p>	<ul style="list-style-type: none"> • Medical clearance • Letter of appointment • Letter of acceptance • Details of assigned duties • Probation reports • Medical examinations • Personal particulars • Educational qualifications • Declarations of pecuniary interests • Secrecy undertakings • Employment contracts 	<p>Common practice</p>
6.3	<p>Records relating to staff working with children</p>	<p>Termination + 25 years</p>		
6.4	<p>All other records</p>	<p>Termination + 6 years</p>		

Human Resources

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
Employee and Industrial Relations				
6.5	Identification & development of significant directions concerning industrial matters	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Generic agreements and awards • Negotiations • Disputes • Claims lodged 	Common practice
6.6	Liaison processes of minor and routine industrial matters	Destroy 2 years after administrative use is concluded	<ul style="list-style-type: none"> • Daily industrial relations management 	Common practice
6.7	Processing of disciplinary and grievances where investigations where proved	Oral Warning – 6 months Written Warning - 1 year Final Warning - 18 months The above warnings to be removed & destroyed after the relevant time has 'spent'. Warnings Involving Children – Placed on personal file permanently	<ul style="list-style-type: none"> • Disciplinary 	For all practical purposes this function would not be subject to records management, except for Warnings Involving Children, which remain on the personal file permanently for reference purposes. (See 29.1.3 & 29.1.4)
6.8	Processing of disciplinary and grievances where investigations where unfounded	Destroy immediately after the grievance has been found to be have been unfounded; or after appeal	<ul style="list-style-type: none"> • Disciplinary 	Common practice

Human Resources

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
6.9	Equal Employment Opportunities The process of investigation and reporting on specific cases to ensure that entitlements & obligations are in accordance with agreed Equal Employment Opportunities guidelines policies	Destroy 5 years after action completed		Common practice

Occupational Health

Human Resources

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
6.10	The process of checking and ensuring the health of staff	Destroy 75 years after DOB	<ul style="list-style-type: none"> Health questionnaire Medical clearance Adjustment to work place Restrictions Recommendations Eyesight testing for display screen users forms 	Common practice
6.11	Eyesight testing for display screen users	Destroy 3 years after test		
6.12	Recruitment The selection of an individual for an established position	Destroy 1 year after recruitment has been finalised (For letter of appointment for successful candidate use employment conditions)	<ul style="list-style-type: none"> Advertisements Applications Referee reports Interview reports Unsuccessful applicants 	Common practice
6.13	Staff Monitoring Performance	Destroy 5 years after action completed	<ul style="list-style-type: none"> Probation reports Performance plans 	Common practice

Human Resources

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
6.15	Process of monitoring staff leave and attendance	Destroy 2 years after action completed	<ul style="list-style-type: none"> • Sick leave • Jury service • Study leave • Special and personal leave • Attendance books • Flexitime sheets • Timesheets • Leave applications • Clock on/off cards • Annual leave 	Common practice
Staff Retention				
6.16	Financial reward	Destroy 7 years after action completed		Common practice All records relating to actual payments are dealt with under finance
6.17	Other strategy	Destroy 3 years after action completed		Common practice

Termination

Human Resources

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
6.18	The process of termination of staff through voluntary redundancy, dismissal and retirement	<p>Destroy 6 years after termination</p> <p>If a pension is paid then records should be destroyed 6 years after last payment of pension</p>	<ul style="list-style-type: none"> • Resignation • Redundancy (Section 188) • Dismissal • Death • Retirement 	Common practice
Training and Development				
6.19	Routine staff training processes, not occupational health and safety or children related	Destroy 2 years after action completed	<ul style="list-style-type: none"> • Course individual staff assessment 	Common practice
6.20	Training (concerning children)	Destroy 35 years after training completed, or last entry	<ul style="list-style-type: none"> • Course individual staff assessment • training register 	Common practice
6.21	Training (occupational health and safety training)	Destroy 50 years after training completed	<ul style="list-style-type: none"> • OH&S training register 	Common practice
6.22	Training (materials)	<p>Individual course assessment records should be destroyed once the training has been renewed every 3 years</p> <p>Destroy 1 year after course is superseded</p>		Common practice

Human Resources

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
6.23	Training (proof of completion)	Destroy 10 years after action completed	<ul style="list-style-type: none"> • Certificates • Awards • Exam results 	Common practice
Appointments of Statutory Officers				
6.24	Summary management systems that allow the monitoring & management of statutory officers in summary form	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Magistrates register 	Common practice
6.25	The process of administering employees to ensure that entitlements & obligations are in accordance with agreed employment requirements	Destroy 6 years after departure from employment		Common practice
6.26	The appointment of an individual for a statutory position	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Appointment Files <ol style="list-style-type: none"> 1. Shrievally 2. Magistrates 3. Lord Lieutenant 4. Tax commissioners 	Common practice

Human Resources

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
6.27	The process of selection of an individual for an statutory position	Destroy 2 years after date of appointment	<ul style="list-style-type: none">• Vacancies & applications records• Interview notes• Prospective staff records• Registers of applicants• Unsuccessful applications records	Common practice

Financial Management

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
Accounts & Audit				
Reporting				
7.1	The process that consolidates financial transactions on an annual basis for corporate reporting purposes	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> Consolidated annual reports Consolidated financial statements Statement of financial position Operating statements General ledger 	Common practice
7.2	The process that supports and consolidates financial transactions on a periodic (less than annual) basis, superseding those from the previous period. Does not include journals and subsidiary ledgers and cash books	Destroy when administrative use is concluded	<ul style="list-style-type: none"> Consolidated monthly & quarterly reports Consolidated monthly & quarterly financial statements Working papers for the preparation of the above Monthly accrual statements Cashflow statements Creditor listings and reports Debtor listings and reports 	Common practice

Financial Management

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	Financial Transactions Management			
7.3	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"> • Appointments & delegations • Audit investigations • Arrangements for the provision of goods and/or services 	Statutory
7.4	Identification of the receipt, expenditure and write offs of public monies	Destroy 6 years after the conclusion of the financial transaction that the record supports	<ul style="list-style-type: none"> • Allowances • Work orders • Invoices • Credit card statements • Cash books • Receipts • Cheque counterfoils • Bank statements • Subsidiary ledgers (annual) • Journals (annual) • Vouchers 	Statutory This period may be reduced with the agreement of Customs and Excise and/or the Inland Revenue
7.5	Process 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"> • Applications • Card issue • Rail warrants 	Statutory

Financial Management

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
7.6	Processes that balance & reconcile financial accounts	Destroy 2 years after administrative use is concluded	<ul style="list-style-type: none"> • Reconciliation • Summaries of accounts 	Common practice
7.7	Taxation Records	Destroy 6 years after the end of the financial year in which the records were created	<ul style="list-style-type: none"> • Taxation records • Motor vehicle logs • Fringe benefits tax records • Group certificates 	Statutory
7.8	Processes involved in the collection of National Insurance Number	Destroy 2 years after the employee ceases employment	<ul style="list-style-type: none"> • Notification & input records 	Common practice
7.9	<p>Payroll</p> <p>Accountable processes relating to payment of employees</p>	Destroy 7 years after the conclusion of the financial transaction that the record supports	<ul style="list-style-type: none"> • Authority sheets • Payroll deduction authorities • Payroll disbursement • Employee pay records • Employee taxation records 	Statutory

Financial Management

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
7.10	Non-accountable processes relating to payment of employees	Destroy after administrative use is concluded	<ul style="list-style-type: none"> Summary employee pay reports 	Common practice
Financial Provisions				
Budgets And Estimates				
7.11	The process of finalising local authorities' annual budget	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> Annual budget 	Common practice Only the final version of the annual budget needs to be kept
7.12	The process of developing local authorities' annual budget	Destroy 2 years after annual budget adopted by local authorities	<ul style="list-style-type: none"> Draft budgets Departmental budgets Draft estimates 	Common practice

Financial Management

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
7.13	The process of reporting which examines the budget in relation to actual revenue and expenditure	Destroy after next year's annual budget has been adopted by Local Authorities	<ul style="list-style-type: none"> Quarterly statements 	Common practice
Loans				
7.14	The activity of borrowing money to enable a local authority to perform its functions and exercise its powers	Destroy 7 years after the loan has been repaid	<ul style="list-style-type: none"> Loan files 	Statutory
7.15	Summary management of loans	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> Loans registers 	Common practice

Housing

The process of offering financial help with welfare housing provision and maintenance

Financial Management

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
7.16	Mortgages	Last payment + 6 years if signed Last payment + 12 years if sealed	<ul style="list-style-type: none"> Mortgage agreements Correspondence 	Statutory
7.17	“Right to Buy”	Destroy 12 years after sale of house	<ul style="list-style-type: none"> Sale documents Agreement concerning sale 	Common practice
7.18	Rent Payments	Destroy 7 years after the end of the financial year in which created	<ul style="list-style-type: none"> Rent books Correspondence concerning payment Requests for payment 	Statutory
7.19	Home Improvement Grants	Destroy 6 years after last payment for grants under £50 000, For grants over £50 000 destroy 12 years after last payment Where plans and detailed drawings included offer to Archivist.	<ul style="list-style-type: none"> Agreement to pay loan Details of payments Correspondence relating to loan 	Statutory

Financial Management

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
7.20	<p>Council Tax Valuation</p> <p>The valuation of rateable land within a municipal district for the purpose of the making of the rate</p>	<p>Valuation lists - Permanent. Offer to Archivist for review</p> <p>Destroy 10 years after the year in which the valuation was made</p>	<ul style="list-style-type: none"> • Valuation lists • Correspondence • Objections • Reports 	Common practice
7.21	<p>Property History</p> <p>The recording of information for rateable properties identifying the person or company rated, including details of the value of the property.</p> <p>Note: Records containing accounting information primarily, and not being a source of property history, should be disposed of according to the appropriate record class within the Accounts & Audit function.</p>	<p>Permanent. Offer to Archivist for review.</p> <p>Transfer to Place of Deposit after administrative use is concluded</p>	<ul style="list-style-type: none"> • Rate Books • Rate Cards • Register of Rateable Properties 	Common practice

Financial Management

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
7.22	<p>Rates and Local Authorities Tax Correspondence</p> <p>The activity of corresponding with ratepayers in relation to valuations, rates and charges, objections, submissions, appeals, rate remissions and other rates related matters</p>	Destroy 7 years after last action	<ul style="list-style-type: none"> ● Notices ● Objections ● Applications ● Correspondence ● Rate certificates ● Notices of acquisition and disposition ● Rate property files 	Common practice
7.23	<p>Summary Assets Management</p> <p>See Property Management for real property assets. See Transport Management for vehicle assets.</p>			
7.24	<p>Summary management reporting on the overall assets of the local authorities</p>	<p>Permanent. Offer to Archivist.</p> <p>Transfer to place of deposit after administrative use is concluded</p>	<ul style="list-style-type: none"> ● Schedules of acquisitions ● Consolidated current asset reports ● Annual reports ● Summary of current assets ● Asset registers 	Common practice

Financial Management

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	Asset Monitoring and Maintenance			
7.25	Management systems that allow the monitoring & 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"> Subsidiary asset registers 	Common practice
7.26(i)	Process of reporting and reviewing assets status	Destroy 5 years after administrative use is concluded	<ul style="list-style-type: none"> Routine returns and reports on asset status Inventories Stocktaking Surveys of usage Acquisition and disposal reports & proposals 	Common practice
7.26(ii)		Destroy 3 years after administrative use is concluded	<ul style="list-style-type: none"> Stores tickets 	
7.27	The process of maintaining assets	Destroy 7 years after last action	<ul style="list-style-type: none"> Garden maintenance Cleaning Painting 	Common practice
7.28	The process of maintaining plant and equipment	Destroy 7 years after sale or disposal of asset	<ul style="list-style-type: none"> Service records Plant files 	Common practice

Financial Management

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
7.29	<p>Asset Acquisition and Disposal</p> <p>Management of the acquisition (by financial lease or purchase) and disposal (by sale or write off) process for assets after completion of whole scheme.</p>	<p>Destroy 6 years, if under £50 000 or 12 years if over £50 000, after all obligations/entitlements are concluded</p>	<ul style="list-style-type: none"> • Legal documents relating to the purchase/sale • Particulars of sale documents • Board of survey • Leases • Applications for leases, licences & rental revision • Tender documents • Conditions of contracts • Certificates of approval 	<p>Statutory</p>

Financial Management

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
7.30	Objective 1 and Interreg Project Grants	For the 2000-2006 Programme, the earliest for each and every project, the original documentation can be destroyed is December 2014 .	<ul style="list-style-type: none">• Invoices• Timesheets	Statutory
		For the 2007-2013 Programme, the earliest for each and every project, the original documentation can be destroyed is December 2021 .		

Property and Land Management

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
8.1	<p>Property and Land Management</p> <p>Reports to management on overall property of the local authority</p>	<p>Permanent. Offer to Archivist.</p> <p>Transfer to place of deposit after administrative use is concluded</p>	<ul style="list-style-type: none"> • Consolidated property & buildings annual reports • Summary of leased property • Summary of local authority's owned property • Site register • Register of leases 	Common practice
8.2	<p>Property Acquisition and Disposal</p> <p>[see also Conveyance]</p> <p>Management of the acquisition (by financial lease or purchase) process for real property (see also 2.1.1.0)</p>	<p>Retain for life of property or building plus 12 years.</p> <p>Offer material re major/significant properties to Archivist for review</p>	<ul style="list-style-type: none"> • Plans 	Common practice

Property and Land Management

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
8.3	Management of the disposal (by sale or write off) process for real property	Destroy 15 years after all obligations/entitlements are concluded. Offer material re major/significant properties to Archivist for review	<ul style="list-style-type: none"> • Legal documents relating to the sale • Particulars of sale documents • Board of Survey • Tender documents • Conditions of contracts 	Common practice
8.4	Property Development and Renovation The process of managing and undertaking renovations and development of property			
8.5	Management <ul style="list-style-type: none"> • buildings and estates of "special interest" 	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Project specifications • Plans • Installation manuals • Certificates of approval 	Common practice
8.6	Management <ul style="list-style-type: none"> • all other buildings and estates 	Retain for life of property or building	<ul style="list-style-type: none"> • Project specifications • Plans • Installation manuals • Certificates of approval 	Common practice For asbestos see health and safety under General Public Services

Property and Land Management

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
8.7	The action process involved in the development and renovation of property	Destroy 7 years after the conclusion of the transaction that the record supports, subject to grant data and grant duration period.	<ul style="list-style-type: none"> • Work orders • Tender documents • Conditions of contracts 	Common practice
Leasing And Occupancy				
8.8	The process of managing leased property	Destroy 15 years after the expiry of the lease	<ul style="list-style-type: none"> • Lease agreements • Rental expenditure authorities • Valuation queries • Applications for leases, licences & rental revision 	Common practice
8.9	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"> • Requests for works, cleaning, etc. 	Common practice
Housing Provision				
8.10	The process of managing local authority welfare housing estates	Destroy 4 years after last welfare action	<ul style="list-style-type: none"> • Stock monitoring records 	Common practice

Property and Land Management

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
Systems Management				
8.11	The internal process to develop or extend the capabilities of a system used to support the activities of the local authority	Retain for life of system then destroy		
8.12	The process to implement a system used to support the activities of the local authority	Destroy 7 years after last action	<ul style="list-style-type: none"> Implementation plan 	
8.13	The process to support and administer a system used to support the activities of the local authority	Destroy 5 years after last action		
Transport Management				
8.14	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"> Leases Contracts Quotes Approvals Fleet authorisation numbers 	

Property and Land Management

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
8.15	The process of managing allocation & maintenance of vehicles	Destroy 7 years after the sale or disposal of the vehicle	<ul style="list-style-type: none"> • Approvals as drivers • Allocations & authorisations for vehicles • Maintenance 	
8.16	The process of recording vehicle usage	Destroy 3 years after the sale or disposal of the vehicle	<ul style="list-style-type: none"> • Vehicle usage reports 	
8.17	The process of recording drivers usage	Destroy 7 years after closure	<ul style="list-style-type: none"> • Vehicle log book 	
Insurance				
Policy Management				
8.18	The summary management of insurance arrangements	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded.	<ul style="list-style-type: none"> • Insurance register 	
8.19	The process of insuring local authority officers, property, vehicles and equipment against negligence, loss or damage	Destroy 12 years after the terms of the policy have expired	<ul style="list-style-type: none"> • Insurance policies • Correspondence 	

Property and Land Management

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
8.20	The process of renewing insurance policies	Destroy 5 years after the insurance policy has been renewed	<ul style="list-style-type: none">• Insurance policy• Renewal records• Correspondence	
Claims Management				
8.21	The process that records insurance claims against the local authority or local authority officers	Destroy 7 years after all obligations/entitlements are concluded (allowing for the claimant to reach 25 years of age)	<ul style="list-style-type: none">• Claims records• Correspondence	

General Public Services

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
Health and Safety				
Inspections and Assessments				
9.1	Process of inspecting equipment to ensure it is safe	Destroy 6 Years from destruction of the equipment	<ul style="list-style-type: none"> Equipment inspection records 	Statutory
9.2	Processing the geo-technical assessments of a quarry	When quarry is no longer in use consult or refer to Health and Safety Executive (HSE)		Statutory
9.3	Process of carrying out monitoring to ensure that the process is safe	Destroy 3 Years from last action	<ul style="list-style-type: none"> Monitoring results 	Statutory
9.4	Process of monitoring of areas where employees and persons are likely to have become in contact with asbestos	Destroy 40 Years from last action	<ul style="list-style-type: none"> Property asbestos files 	Common practice based on Statutory
9.5	Process of monitoring of areas where employees and persons are likely to have come in contact with radiation	Destroy 50 Years from last action or at age 75 years whichever is the greater	<ul style="list-style-type: none"> Radon monitoring 	

General Public Services

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
9.6	Process to ensure safe systems of work	Retain until superseded or process ceases +1 year		Common practice
9.7	Process to assess the level of risk	Destroy 3 Years from last assessment	<ul style="list-style-type: none"> Risk assessment 	Statutory
9.8	Processes that permit work	Destroy 1 Year from last action		Common practice
9.9	Process that records injuries to adults	Destroy 5 Years from closure	<ul style="list-style-type: none"> Accident books ACCREPS 	Statutory
9.10	Process that records injuries to children	Destroy 25 Years from closure	<ul style="list-style-type: none"> Accident books ACCREPS 	Based on Statutory
Emergency Planning				
9.11	Process to develop the emergency/disaster plan for the local community	Permanent. Offer to Archivist for review. Transfer to place of deposit after superseded	<ul style="list-style-type: none"> Major Incident Plan 	
9.12	Process of recording the results of the test for emergency/disaster plan for the local community	Destroy 10 years after closure		

General Public Services

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	Major Incident			
9.13	Activities that report on all major incidents in the local community, whether the emergency plan has been invoked or not	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded		
9.14	Activities that report on all minor incidents in the local community	Destroy 7 years after closure		
	Enforcement Certification and Prosecution			
	Registration, Certification and Licensing			
9.15	Summary management systems that allow the monitoring & management of registration, certification and licences registration requirements in summary form	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> Visual impairment register 	Common practice

General Public Services

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
9.16	The administration of applications, registration, certification and licences in relation to local authorities' registration requirements	Destroy 2 years after registration or entitlement lapses	<ul style="list-style-type: none"> • Applications for animal registration • Applications for registration of a business premises • Applications for release of animals impounded • Registers • Certificates of registration of: <ul style="list-style-type: none"> • door supervisors • taxi drivers • beauty therapists • Animal movement licences • Gaming • Fire certification • Disabled Parking permits • Blue badge • Registration to sell poison 	<p><u>Statutory</u> Note: may want archival review in cases of licensing of children in entertainment</p>

General Public Services

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
9.17	The process involved in licensing sites for the holding or use of toxic or hazardous substances. (including petroleum, agricultural chemical products or herbicides)	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded - 60 years after registration or entitlement lapses	<ul style="list-style-type: none"> • Diesel licences • Petroleum licences • Health and safety licensing • Hazardous substances • Contaminated land register/pollution 	Common practice
9.18	The process of registration of homes or carers for the care and support of children, in the responsibility of the local authority	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded - 25 years from closure of centre, or discontinuation of care	<ul style="list-style-type: none"> • Organisation files • Child carers files • Childcare registration • Day care registration • Children's home 	Common practice The responsibility of OFSTED from 1 st April 2002
9.19	Notification The process of issuing notices to citizens with respect to particular responsibilities	Destroy 2 years after the matter is concluded	<ul style="list-style-type: none"> • Fire Prevention notices • Fire Prevention • Infringement notices • Objections to notices • Appeals against notices • Registration of premises • Infringement notices • Animal Impounding notices 	Common practice

General Public Services

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	Investigation, Inspection and Monitoring			
9.20	The process of investigation, monitoring or inspection laws in the responsibility of the local authority	Destroy 7 years from last action.	<ul style="list-style-type: none"> Trading standards sample and inspections records Fire certificate compliance inspections 	Common practice
	Prosecution			
9.21	The process of prosecution or sanction of an individual or organisation for failing to comply with their legal responsibilities	Destroy 7 years from last action.	<ul style="list-style-type: none"> Prosecution/sanction files 	Common practice
	Bye-Laws			
	Enactment			
9.22	The process of making local laws	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> Master Set of bye-laws Policy Development documents Correspondence Submissions 	Common practice

General Public Services

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	Administration & Enforcement			
9.23	The process of administering and enforcing bye-laws	Destroy 2 years after certificate has expired or penalty payment has been made or the matter has been finished or correspondence on the matter has ceased	<ul style="list-style-type: none"> • Applications and certificates • Permits • Licences • Infringement notices (Parking) • Correspondence 	Common practice
	Cemeteries & Crematoria			
9.24	Summary management systems that record the location of burials and identity of deceased individuals	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Register of interments • Cemetery register • Cemetery plans 	Common practice
9.25	The process of regulation of burials and cremations	Destroy 5 year after last action	<ul style="list-style-type: none"> • Permits • Applications • Orders 	Common practice

General Public Services

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	<p>Waste Management The provision of hard waste removal, destruction and waste reduction services by the local authority to ratepayers</p>			
	<p>Collection The process of arranging the collection or transportation of household waste</p>	Destroy 2 year after last action		Common practice
9.27	The process of arranging the collection or transportation of controlled waste	Destroy 6 year after last action		Common practice
	<p>Disposal of Waste The summary management of sites used for the disposal of waste within the local authority</p>	<p>Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded</p>		Common practice
9.28	The summary management of sites used for the disposal of waste within the local authority	Destroy 10 year after site closure	<ul style="list-style-type: none"> • Transfer sites 	Common practice
9.29	The process of the short-term storage of household waste			

General Public Services

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
9.30	The process involved in managing the use, type and amount of waste to be disposed at a specific site	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none">• Waste site plans	Common practice

Planning and Land Use

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
10.1	<p>Planning Scheme Development and Amendment</p> <p>The activity of developing a vision and strategic directions regarding existing and future land use within the Local Authority and the development of local and town centre plans to ensure the implementation of the Structure Plan</p>	<p>Permanent. Offer to Archivist when plan superseded</p>	<ul style="list-style-type: none"> • Structure Plan • Local Plan • Town Centre plans • Unitary Development plans 	<p>Common practice</p>
10.2	<p>The activity of consultation to gain approval for the Structure Plan (Unitary Development Plans) or Local Plans</p>	<p>Permanent. Offer to Archivist for review after 3 years.</p>	<ul style="list-style-type: none"> • Consultation documents and replies • Inquiries and objections made by members of public • Public Inquiry documents 	<p>Common practice</p>

Planning and Land Use

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
10.3	The activity of recording information on historical buildings, monuments and ecology at a specific site	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> Sites and Monuments records Ecological records Species records Historically listed buildings Definitive map Commons registration 	Common practice
10.4	The activity of establishing planning scheme controls and providing for them to be amended	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> Successful Waste Planning application Successful Mineral Planning applications Amendments to definitive map Mineral Register Applications for mineral extraction Land Use surveys 	Common practice
10.5	The process of receiving, considering and responding to submissions and objections to planning schemes and amendments	Destroy 15 years after decision. Offer controversial/high profile schemes to Archivist	<ul style="list-style-type: none"> Waste Planning application consultation Mineral Planning applications consultation Objections Inquiries – Public etc Archaeological: advice/conditions 	Common practice

Planning and Land Use

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
10.6	The process of controlling development of areas through applications for planning permission	Transfer planning application register to Archivist once the register has been completed (or at arranged intervals if it is held electronically) Refer all other records to Archivist for sampling	<ul style="list-style-type: none"> • Planning application files and plans • Correspondence relating to any objections • Hearing papers • Planning application register 	Common practice
10.7	The process of maintaining the countryside and developing open spaces for public amenity	Refer all files relating to policy to the Archivist Destroy other files 7 years after administrative use concluded	<ul style="list-style-type: none"> • Tree preservation orders • Country parks and nature reserves • development plans and correspondence, land purchase agreements 	Common practice
Planning Scheme Regulation				
10.8	The summary management of planning scheme regulation	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Building Control registers 	Common practice

Planning and Land Use

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
10.9	The process of regulating the planned use of land or buildings	Destroy 15 years after closure		Common practice
10.10	The process of approving building applications in relation to listed or other significant buildings	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Building files • Plans • Specifications • Correspondence • Applications • Permits • Certificates 	Common practice
10.11	The process of approving building applications, for all other buildings	Destroy 15 years after construction completed	<ul style="list-style-type: none"> • Building files • Plans • Specifications • Correspondence • Applications • Permits • Certificates • Objections 	Common practice
10.12	The process of inspecting building work for the purpose of insuring compliance.	Destroy 10 years after the issue of a certificate of final inspection	<ul style="list-style-type: none"> • Certificate of final inspection • Building Inspection records • Diaries 	Common practice
10.13	The process of enforcing building or land regulations	Destroy 3 years after compliance with enforcement notice		

Infrastructure and Transport

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	Planning and Development			
11.1	The activity of developing a vision and strategic directions regarding existing transport and infrastructure within the municipality	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Structure Plan • Local transport plan 	Common practice
11.2	The activity of recording location of highways, bridle paths and rights of way	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Definitive map • Correspondence concerning enquiries and disputes 	Common practice
11.3	The activity of establishing planning scheme controls and providing for them to be amended and modified	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Amendments to definitive map • Road adoption 	Common practice
11.4	The process of receiving, considering and responding to submissions and objections to planning schemes and amendments	Destroy 7 years after decision. Offer controversial/high profile schemes to Archivist	<ul style="list-style-type: none"> • Enquiries, consultation documents, objections and correspondence 	Common practice

Infrastructure and Transport

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
11.5	The process of enforcing infrastructure and transport regulations	Destroy 50 years after enforcement notice. Destroy 3 years after compliance with enforcement notice.		Common practice
Traffic Management				
11.6	The activity of planning, and programming the continued flow, diversion or reduction of traffic	Destroy 7 years after action completed	<ul style="list-style-type: none"> Traffic orders 	Common practice
Design and Construction				
11.7	The activity of planning, designing, programming and constructing roads, streets, bridges, and tunnels	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded		Common practice

Infrastructure Management and Maintenance

Infrastructure and Transport

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
11.8	The activity of providing municipal services in relation to infrastructure within the local authority	Destroy 7 years after last action	<ul style="list-style-type: none"> • Street files • Street records Requests for: <ul style="list-style-type: none"> • Hedge clipping • Tree planting • Naming of streets • Numbering of houses • Street load limits • Street signs • Bus shelters • Applications to dig up pavements • HGV application • Advice / comment • Level crossings • Right of ways • Roundabouts • Traffic calming measures • Street lighting 	Common practice

Road Maintenance

Infrastructure and Transport

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
11.9	The activity of maintaining and repairing roads, streets, bridges, bridle paths, rights of way and tunnels	Destroy 12 years after action completed		Common practice
	Public Transport Services			
11.10	The activities involved in the management and provision of public transport	Destroy 3 years after superseded or last action.	<ul style="list-style-type: none"> • Timetables and routes • Maps • Fares 	Common practice
11.11			Customer and industry liaison	

Index

This index is not intended to be exhaustive always check the table of contents and the schedule itself if the item does not appear in the index.

A

Accession registers	2.11
Accident book – injuries to adults	9.9
Accident book – injuries to children	9.10
Accounts, summaries of	7.6
Accrual statements	7.2
Acquisition and disposal of assets - Certificates of approval	7.29
Acquisition and disposal of assets 4- Board of Survey	7.29
Acquisition and disposition - notices of	7.22
Acquisitions , schedule of	7.24
Adjustment to workplace	6.10
Admissions registers – residential homes	3.24
Adoption files	3.2
Adoptive parents - counselling files	3.3
Adoptive parents – approval of	3.3
Advertisements – recruitment	6.11
Agenda – Council	1.4
Agenda – External Committees	1.6
Allowances – financial	7.4
Amendments to definitive map	10.4
Animal impounding notices	9.19
Animal movement licences	9.16
Animal registration	9.16
Annual budget	7.11
Annual leave	6.13
Application for leases, licences and rental revision	7.29
Appointment files of statutory officers	6.24
Approvals as drivers	8.15
Asbestos files relating to property	9.4
Asset acquisition and disposal - legal documents relating to the sale	8.3

A

Asset acquisition and disposal - particulars of sale	7.29
Asset Management Plan	2.6
Asset monitoring - inventories	7.26
Asset monitoring - stocktaking	7.26
Asset monitoring - surveys of usage	7.26
Asset registers	7.24
Audit investigations	7.3

B

Ballot papers	1.2
Bank statements	7.4
Best Value review	2.17
Birth Certificate	5.2
Blue badge	9.16
Briefing and discussion papers	1.6
Budget - quarterly statements	7.13
Building Control, register of	10.8
Building inspection records – planning scheme regulation	10.12
Building management - project specifications	8.6
Bus shelters	11.8
Business plans	2.1
Business premises, registration of	9.16
Bye-laws - administration of, certificates	9.23
Bye-laws - master set of	9.22
Bye-laws – permits	9.23

C

Cash books	7.2
	7.4
Cash flow statements	7.2
Cemeteries and Crematoria – applications	9.25
Cemetery plans	9.24
Cemetery register	9.24
Certificate of Final Inspection – Building work	10.12
Certificates of approval – management of buildings	8.5
	8.6
Cheque counterfoils	7.4

Index

C	
Child Care – carer case files	9.18
Child Care – case files, litigation	4.1
Child Care – registration of homes and carers	9.18
Child Protection – case files	2.6
Child Protection – register	3.6
Children’s homes	3.2
Children’s homes – register of	3.1
Children’s Services plan	2.6
Civic and Royal - photographs	2.24
Civic and Royal - video tapes	2.24
Civic and Royal – visitors’ book	2.24
Civil litigation - case file	4.1
Claims - lodged, employee and industrial relations	6.5
Committee – recommendations	1.6
	1.7
Committee minutes - indexes	1.4
Committee reports	1.7
Commons Registration	10.3
Community Plan	2.6
Community Safety Plan	2.6
Community Strategy	2.6
Complaints, register of	2.13
Concordat – agreeing terms between organisations	4.3
Consolidated annual reports	7.1
Consolidated current asset reports	7.24
Consolidated financial statements	7.1
Consolidated monthly & quarterly reports	7.2
Consolidated property & buildings annual reports	8.1
Consultation	10.2
	10.5
Contaminated land register/pollution	9.17
Contract – clarification of	4.11
Contract - extension of	4.14
Contract development - project files	4.6
Contract management - changes to requirements	4.14
Contract management - compliance reports	4.13

C	
Contract management - minutes and papers of meetings	4.14
Contract management - performance reports	4.13
Contract management - service level agreements	4.13
Contract management - signed contract	4.12
Contracts - disputes on payment	4.14
Contracts - expressions of interest	4.5
Conveyancing files	4.4
Coroners case files	5.6
	5.7
Corporate Plans	2.1
Correspondence – bye-laws	9.22
	9.23
Correspondence – Council	2.15
Correspondence – enquiries	2.14
Correspondence – home improvement grants	7.19
Correspondence – housing	3.28
Correspondence – insurance	8.20
	8.21
Correspondence – litigation	4.1
Correspondence – mortgages	7.16
Correspondence – planning	10.6
	10.7
	10.10
	10.11
	11.2
	11.4
Correspondence – rates and Council Tax	7.20
	7.22
Correspondence – rent	7.18
Correspondence – tenancy	3.28
Council - precedent	2.6
Council - printed material	2.16
Council – procedure	2.6
Council agenda and business papers	1.4
Council briefing and discussion papers	1.5
Council housing application forms	3.27
Council Housing, register of	3.26
Council letters - form letters	2.16
Council minutes	1.4

Index

C

Council notice papers and proceedings	1.4
Council reports	1.5
Country parks and nature reserve development plans	10.7
Course reports – child development	3.21
Credit card statements	7.4
Creditor listings	7.2
Criminal case file – litigation	4.1
Current Assets, summary of	7.24

D

Daily industrial relations management	6.6
Day care registration	9.18
Death certificate	5.2
Debtor listings	7.2
Definitive map – historic buildings	10.3
Delegations to Special Committees, register of	1.4
Departmental budgets	7.12
Diesel licences	9.17
Disabled parking permits	9.16
Disposal certificates	2.12
Draft budgets	7.12
Draft estimates	7.12
Draft/rough minutes	1.5

E

Ecological records	10.3
Education plan	2.6
Electoral Register	1.1
Employee relations - generic agreements and awards	6.5
Employees - flexitime sheets	6.13
Employees - pay records	7.9
Employees - study leave	6.13
Employees - summary pay reports	7.10
Employees - taxation records	7.9
Employees – attendance books	6.13
Employees - awards	6.5
Employees - clock on/off cards	6.13

E

Employees - declarations of pecuniary interests	6.2
Employees - disciplinary	6.7
Employees - dismissal	6.16
Employees - disputes	6.5
Employees - educational qualifications	6.2
Employees - health questionnaire	6.10
Employees - jury service	6.13
Employees - leave applications	6.13
Employees - letter of acceptance	6.2
Employees - medical clearance	6.2
Employees - medical examinations	6.10
Employees - medical	6.2
Employees - performance plans	6.12
Employees - personal history cards	6.1
Employees - personal particulars	6.2
Employees - probation reports	6.2
Employees - redundancy (section 188)	6.16
Employees - resignation	6.16
Employees - retirement	6.16
Employees - salary master record	6.1
Employees - secrecy undertakings	6.2
Employees - sick leave	6.13
Employees - special and personal leave	6.13
Employees - Superannuation history card	6.1
Employment contracts	6.2
Employment Register – Casual Staff	6.1
Employment Register – Permanent Staff	6.1
Employment Register – Temporary Staff	6.1
Equipment inspection records	9.1

F

Family support - parenting skills	3.14
Family support – project files	3.14
Financial - operating statements	7.1
Financial - rail warrants	7.5

Index

F

Financial – reconciliation	7.6
Financial - vouchers	7.4
Financial - work orders	7.4
Financial Management - general ledger	7.1
Financial position, statement of	7.1
Financial Statements	7.1
	7.2
Financial transactions - journals (annual)	7.4
Financial transactions - notification & input records	7.8
Financial transactions - notification and input records	7.8
Financial transactions Management - appointments and delegations	7.3
Fire certificate compliance inspections	9.20
Fire certification	9.16
Fire Prevention infringement notices	9.19
Fire Prevention notices	9.19
Fostering - privately fostered children's files	3.2

G

Gaming licences	9.16
Garden maintenance	7.27
Goods and/or services - arrangements for the provision of	7.3
Guardian ad litem files	3.2

H

Hazardous substances licensing	9.17
Health and safety licensing	9.17
Hedge clipping	11.8
HGV application	11.8
Honours nomination form	1.8
Honours submissions - letters of support	1.8
Housing - application for emergency housing or referral	3.28
Housing - rent books	7.18

I

Industrial relations - negotiations	6.5
Information Audit - authorised lists of file headings	2.10
Information Management - classification schemes	2.10
Information Management - depositor files	2.11
Information Management, register of	2.10
Infringement notices	9.19
Insurance claims – records	8.21
Insurance policies	8.19
	8.20
Insurance policy renewal	8.20
Insurance register	8.18
Invoices	7.4

L

Land Use surveys	10.4
Leader of council papers	1.9
Leader of opposition papers	1.9
Learning disability	3.18
Lease agreements	8.8
Leased Property, summary of	8.1
Leases	7.29
	8.1
	8.8
	8.14
Leases, register of	8.1
Leasing - rental expenditure authorities	8.8
Level crossings	11.8
Licences	9.23
Licensing of animals - certificates	9.16
Listed Buildings	10.3
Listed buildings - project specifications	8.5
Loan files	7.14
Loans Register	7.15
Local Authorities' owned property, summary of	8.1
Local Plan	10.1
Local Transport Plan	11.1

Index

L

Looked after children - client files	3.2
Lord Lieutenant	6.24

M

Magistrates	5.9
Magistrates register	6.22
Maintaining Assets - cleaning	7.27
Major Incident Plan	9.11
Management of buildings – installation manuals	8.5 8.6
Marriage - notice of	5.4
Marriage certificate	5.2
Marriage register	5.1
Marriage, notice of	5.4
Media reports	2.22
Mental Health files	3.17
Mineral Planning applications	10.4
Mineral Register	10.4
Minutes	1.4
Minutes – Committee	1.4
Minutes, strategic management team	2.2
Mortgage agreements	7.16

N

Naming of streets	11.8
Numbering of houses	11.8

O

Occupational Health – recommendations	6.10
Occupational Health - restrictions	6.10
Occupational Health & Safety training register	6.19
Occupational therapy	3.18
Ombudsman	2.15
Organisation Charts	2.6

P

Parking	9.16
	9.23
Payroll – authority sheets	7.9

P

Payroll deduction authorities	7.9
Payroll disbursement	7.9
Personal services - communication support	3.18
Personal services - day service provision	3.18
Personal services – drug and alcohol misuse	3.18
Personal services - home care	3.18
Personal services - rehabilitation and discharge	3.18
Personnel files, register of	6.1
Petroleum licences	9.17
Physical disabilities	3.18
Planning application files	10.6
Planning application register	10.6
Planning approval - building files	10.10
Planning schemes and amendments – archaeological	10.5
Plans – country parks and nature reserve development	10.7
Plans – development control	10.6
Plans – listed buildings	10.10
Plant and equipment – maintenance	7.28
Plant and equipment - service records	7.28
Poison, registration to sell	9.16
Policy	2.6
Post tender negotiation minutes	4.11
Press cuttings	2.22
Property development – work orders	8.7
Property management - requests for works	8.9
Property management - site register	8.1
Prosecution/sanction files	9.21
Public Transport - fares	11.11
Public transport - timetables and routes	11.11

Q

Quality and performance management - assessment form	2.18
--	------

Index

R

Rate books	7.21
Rate cards	7.21
Rate certificates	7.22
Rate property files	7.22
Rateable properties, register of	7.21
Receipts	7.4
Recruitment - interview notes	6.25
Recruitment - interview reports	6.11
Recruitment - letter of appointment	6.11
Recruitment - referee reports	6.11
Recruitment - Unsuccessful applicants	6.11
Register of births	5.1
Register of deaths	5.1
Register of interments	9.24
Registers, general	9.16
Reported deaths, register of	5.5
Residential care children's files	3.2
Residential Homes - daily logs	3.25
Residential Homes - diaries	3.25
Residential Homes - discharge registers	3.24
Residential Homes - rotas	3.25
Residential Homes - secure units	3.25
Residential Homes, register of	3.24
Right of way	11.8
Right to Buy - sale documents	7.17
Risk assessment	9.7
Road adoption	11.3
Roundabouts	11.8

S

Schedule 1 offenders	3.7
Sensory disability	3.18
Shrievalty	6.24
Sites and Monuments records	10.3
Special education	3.13
	3.14
Special Educational Needs files	3.13
Species records	10.3
Statutory appointment - prospective staff records	6.25

S

Statutory appointment - register of applicants	6.25
Statutory appointment -vacancies & applications records	6.25
Strategy Plans	2.1
Street files	11.8
Street load limits	11.8
Street records	11.8
Street signs	11.8
Structure Plan	10.1
	11.1
Subsidiary assets, register of	7.25
Subsidiary ledgers (annual)	7.2
	7.4
Systems management - implementation plan	8.12

T

Tax Commissioners	6.24
Taxation	7.7
Taxation - group certificates	7.7
Taxation - motor vehicle logs	7.7
Taxation certificates	7.7
Tenancy	3.27
	3.28
	4.15
Tenancy - transfer of	3.27
Tenancy - sealed agreements	4.15
Tenancy - signed agreements	4.15
Tenders – documents	4.9
	4.10
	7.29
	8.3
	8.7
Tenders – evaluation criteria	4.8
Tenders - issuing	4.7
Tenders - opening notice	4.7
Tenders - quotations	4.10
Tenders – specification	4.6
Town Centre Plans	10.1
Trading standards - sample and inspections records	9.20
Traffic calming measures	11.8
Traffic orders	11.6
Training - awards	6.21

Index

T

Training - certificates	6.21
Training - course individual staff assessment	6.17
Training - exam results	6.21
Training, register of	6.18
Transport management - fleet authorisation numbers	8.14
Tree planting	11.8
Tree preservation orders	10.7

U

Unitary Development plans	10.1
---------------------------	------

V

Valuation lists	7.20
Valuation queries	8.8
Vehicle log book	8.17
Vehicles - allocations and authorisations	8.15
Voting - consolidated returns of votes received	1.3

W & Y

Waste management - transfer sites	9.29
Waste planning application	10.4
Waste site plans	9.30
Wedding banns	5.4
Young Persons Being Looked After Files	3.2
Youth Justice	3.12
Youth Service Client files	3.12