

ROCHFORD DISTRICT COUNCIL
RETENTION AND RECORDS MANAGEMENT

INTRODUCTION

Rochford District Council is fully committed to ensure compliance with the objectives and obligations of the General Data Protection Regulation 2016 (GDPR) and the Data Protection Act 2018 (DPA).

The processing of data by the Council is essential to services and functions and will often involve the use of personal and/or 'special category' personal data. Compliance with the data protection legislation will ensure that such processing is carried out fairly and lawfully.

The Council's Data Protection Officer is Angela Law and can be contacted by email on DPO@Rochford.gov.uk

The legislation regulates the way in which personal information about individuals, whether held on computer or in a manual filing system, is obtained, stored, used and disclosed. The legislation grants rights to individuals to see the data stored about them, to require modification of the data if it is wrong and, in certain cases, to compensation. The provisions amount to a right of privacy for the individual.

The purpose of this policy is to provide guidance to ensure that there are effective and efficient processes in place in the way the Council handles and disposes of information.

This policy has been authorised by the Council's Leadership Team and the Data Protection Officer.

SCOPE OF THIS POLICY

These guidelines are to support Officers in the areas of records management, records retention and compliance with the GDPR and DPA, Freedom of Information and the Local Government Act.

The aims of the Guidelines are to:

- assist in identifying records that may be worth preserving permanently as part of the 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 the Council

TRANSFER OF RECORDS TO ESSEX RECORD OFFICE.

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 Schedule. The sample may be random, selective or purposeful.

'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.

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.

LITIGATION

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.

Records that are currently (or likely to be in the future) the subject of a Freedom of Information, Data Protection, Environmental Information Regulations etc official request or appeal, must not be destroyed until that request or appeal has been completed. To knowingly destroy a record when it is subject to a request/complaint is an offence.

The Limitations Act 1980 specifies time limits for commencing litigation.

DESTRUCTION OF RECORDS

When records identified for disposal in the Guidelines are destroyed, a register of such records needs to be kept. Enough detail will be recorded to identify which records have been destroyed.

Records should be destroyed using the appropriate method using the paper recycling bins, shredding of confidential papers or deletion for electronic records.

For records not covered by the guidelines please contact the Data Protection Officer or the Legal Team.

STANDARD OPERATING PROCEDURE (SOP)

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.

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 or plans
- advertising material
- out-of-date distribution lists
- working papers which lead to a final report

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

Electronic copies of documents where a hard copy has been printed and filed, are included as unimportant.

This does not apply to records or information that could be used as evidence (see above “Litigation”). If you are in doubt about what information might be required, then consult the legal section.

RESPONSIBILITY

Leadership Team

The Council’s Leadership Team is responsible for approval of this document. The team is also responsible for approving and overseeing all information security related projects and initiatives.

Managers and Team Leaders

Managers and team leaders are responsible for ensuring: -

- record retention policies are implemented in their team
- record keeping systems and arrangement of records enable identification of records due for disposal
- records due for disposal are routinely identified and reviewed to ensure they are no longer required
- divergence from the Records Retention and Disposal Policy is authorised by their Assistant Director and is notified of changes
- staff dispose of records only in accordance with policies set out in this document
- records are disposed of appropriately considering their sensitivity, security classification and the media and format(s) in which they are held
- records of potential historic interest or research value are identified and transferred with agreement to the Essex Record Office
- evidence of the disposal process is kept

All Staff

Everyone is responsible for: -

- following procedures and guidance for managing, retaining and disposing of records
- only disposing of records in accordance with the requirements outlined in this policy (if authorised to do so)
- ensuring that any proposed divergence from records retention and disposal policies is authorised by the Assistant Director

REVIEW OF THE SCHEDULE

This Guideline prescribes minimum and permanent retention periods. This guidance will also be reviewed annually.

April 2019

EXPLANATION OF RETENTION GUIDELINES HEADINGS

These Retention Guidelines are divided into sections of administrative functions that are commonly undertaken by a District Council.

1. Function Description

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

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

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. Retention Period and Action

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.

3. Examples of Records

This section provides common examples of the type of records included within the particular function. This list is not exhaustive.

4. Reason and Any Notes

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

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.

Common practice - standard practice followed by Local Authorities.

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

Permanent - records which must be kept indefinitely 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.

Responsible Officer - Information Asset Owners will be responsible for ensuring information assets are held in accordance with the retention guidelines and the register of destroyed records is completed for their area of responsibility. If the Information Asset Owner, and their deputies, nominate changes the current owner should inform the DPO of the change.

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Democratic Processes

Function Description	Retention period and Action	Examples of Records	Reason and Any Notes
Elections			
Preparation			
Summary certification of those eligible to vote	Permanent. Offer to Archivist after administrative use is concluded	Electoral Register	Statutory Electoral Registration and Administration Act 2013
Voting (all elections, including Parliamentary)	Destroy 1 year from close of poll/date of election Home address forms to be destroyed within 35 days of elections in accordance with legislation.	Ballot papers	Statutory Representation of the People Act 1983 Schedule 1 Part 5 The Local Elections (England and Wales) Rules 2018
Results			
Declaration of results (all elections, including Parliamentary)	Destroy 1 year from close of poll/date of election	Consolidated returns of votes received	Statutory Representation of the People Act 1983
Council, Committee and Executive Decisions			
The process of preparing business for consideration and making the record of decisions	Permanent. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Agenda and business papers – 6 years • Council Notice papers and proceedings – 6 years 	Common practice/ Statutory Public Bodies (Admission to Meeting) Act 1960 Local Government Act 1972

		<ul style="list-style-type: none"> • Indexes – 6 years • Committee minutes – Permanent 	
Minute Taking	Destroy after date of confirmation of the minutes	<ul style="list-style-type: none"> • Draft minutes • Audio Recording – 2 years after date of meeting 	Common practice and Retention Guidelines for Local Authorities (RGLA) Local Government Act 1972 and RGLA
Partnership, Agency and External Meetings			
The process of preparing business for partnership and agencies' consideration and making the record of discussion, debate and resolutions where the Council legally <i>owns</i> the record	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	Documents establishing committees, agendas and minutes. Council reports, recommendations, supporting documents such as Council briefing and discussion papers – 6 years	Common practice and Retention Guidelines for Local Authorities (RGLA)
The process of preparing business for external committees' consideration and making the record of discussion, debate and resolutions where the Council <u>does not</u> own the record	Destroy 4 years after last action	Documents establishing the committee. Reports, recommendations, supporting documents such as briefing and discussion papers	Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) 2012
Honours and Submissions			
The process of preparing of honours submission	Destroy 5 years after last action	Honours nomination form. Covering documentation. Letters of support. Referral for comment from lord lieutenant	Common practice and RGLA

Political Parties Papers			
Process of undertaking representation of the Council – Council representatives	Destroy 3 years after last action	Documents establishing papers. Leader of the Council papers	Common practice
Code of Conduct Compliance			
Register of Members' Interests	Destroy 18 months after vacation of office	Register of Members' Interests	Common practice
The recording of any gifts or hospitality received by Members and officers of the Council	Permanent. Transfer to place of deposit after administrative use is concluded	Gift and hospitality registers	Common practice

MANAGEMENT AND ADMINISTRATION

Function Description	Retention Action	Examples of Records	Notes
Corporate Planning and Reporting			
The corporate planning and reporting activities of local authorities	Destroy after 5 years	Corporate Plans Strategy Plans Business Plans Annual Reports	Common practice/Statutory Limitations Act 1980
The process of preparing business for strategic consideration and making the record of discussion, debate and resolutions	Permanent. Offer to Archivist. Transfer to Essex Record Office after administrative use is concluded	Strategic management team minutes	Common practice
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
The process of preparing business for Unit/Team consideration and making the record of discussion, debate and resolutions	Destroy 3 years from closure Destroy rough drafts after date of confirmation of minutes		Common practice
Statutory Returns			
The process of preparing information to be passed onto central government as part of statutory requirements	Destroy 6 years from closure	Reports to central government	Common practice
Policy, Procedures, Strategy and Structure			
Activities that develop policies, procedures, strategies and structures for the local authorities	Permanent. Offer to Archivist. Transfer to Essex Record Office after administrative use is concluded	Policy, procedure, precedent, instructions. Organisation charts, records relating to policy implementation. Asset	Common practice. Local Authorities (Executive Arrangements) (Meetings and Access to

		management plan, community strategy, community plan, community safety plan	Information) (England) 2012
The process of monitoring and reviewing strategic plans, policies or procedure to assess their compliance with guidelines	Destroy 5 years from closure. 6 years from date of meeting		Common practice. Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) 2012
Public Consultation			
The process of consulting the public and staff in the development of significant policies of the Council.	Destroy 5 years from closure. 6 years from date created		Common practice ESD Local Government Retention Record (LGRR)
The process of consulting the public and staff in the development of minor policies of the Council	Destroy 1 year from closure		Common practice
Information Management			
The activity whereby standards, authorities, restraints and verification are introduced and maintained to manage information effectively	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded	Classification schemes, registers, indexes, authorised list of file headings	Common practice
The management of collections of records transferred to the archives	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	Accession registers, depositor files	Common practice
The process that records the disposal of	Permanent.	Disposal certificates,	Common practice

records		common practice based on Limitation Act	
Enquiries and Complaints			
The management in summary form of enquiries and complaints directed to the Council	Destroy 5 years from closure of enquiry or complaint	Indexes, registers	Common practice
Management of enquiries, submissions and complaints which result in significant changes to policy or procedures	Destroy 5 years from closure of enquiry or complaint	Reports, returns, correspondence (any public Committee Meeting papers/Member decisions should adhere to their own retention requirements)	Common practice
Management of detailed responses on Council actions, policy or procedures under FOI	Destroy after a maximum of 5 years after administrative use is concluded.	Reports, returns, Correspondence, Ombudsman	Common practice
Management of routine responses on Council actions, policy or procedures under FOI	Destroy 5 years after administrative use is concluded	Printed material, forms, letters	Common practice
Quality and Performance Management			
The process of monitoring or reviewing the quality, efficiency or performance of a local authority service or unit	Destroy 5 years from closure	Best Value Review	Common practice
The process of assessing the quality, efficiency or performance of a local authority service or unit	Destroy 2 years from closure	Assessment form	Common practice
Public Relations Publications			
The process of designing setting information for publication	Destroy 3 years from last action		Common practice
The published work of the Local Authority	Destroy after administrative use is	Press cuttings and media reports	Common practice

	concluded		
Media Relations			
Process of interaction with the media	Destroy 3 years after closure		Common practice
Media publications concerning local authorities	Destroy 3 years after closure	Press cuttings, media reports	Common practice
Marketing			
The process of developing and promoting local authorities' campaigns and events	3 years after last action. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded	Electronic proof of marketing and publicity materials	Common practice ESD and LGRR
Civic and Royal Events			
The recording of ceremonial events and civic occasions	Permanent. Transfer to place of deposit after administrative use is concluded	Visitors books, audio tapes, video tapes and photographs	Common practice ESD LGRR
The process of organising a ceremonial event or civic occasion	Permanent. Transfer to place of deposit after administrative use is concluded		Common practice ESD LGRR

HOUSING

Function Description	Retention Action	Examples of Records	Notes
Case Management			
Housing provision. The Process of allocation and management of housing by the local authority and the associated issues of homelessness			
Housing register	Destroy. kept for a minimum of 2 years after case closure.	Application form and supporting documents	Common practice
Case Management			
Applications for assistance under homelessness legislation	Destroy. Kept for a minimum of 5 years after case closure.	Homelessness application form and supporting documents	Common practice
Housing advice/Homelessness prevention	Destroy. Kept for a minimum of 3 years after case closure.	Housing advice case notes and supporting documents	Common practice
Housing- Case Management			
Housing grant applications	Destroy. Kept for a minimum of 2 years after closure of case or expiry of grant condition period, whichever is later.	Grant application form and supporting documents	Common practice

LEGAL AND CONTRACTS

Function Description	Retention Action	Examples of Records	Notes
Litigation			
The process of managing, undertaking or defending for or against litigation on behalf of the Council	Destroy 6 years after settlement of claim. Major litigation – Offer to Archivist for review	Criminal case file, civil case file, correspondence	Common practice
Advice			
The process of providing legal advice on a point of law	Destroy 6 years after last action – unless a major precedent, then offer to Archivist for review		Common practice
Agreements			
Process of agreeing terms between organisations. Note: this does not include contractual agreements	Destroy 7 years after agreement expires or is terminated	Concordant	Common practice. Depends on value of agreement mainly to do with agreements between public bodies not regarding contracts
Conveyance			
The process of changing ownership of land or property	Destroy 12 years after closure	Conveyancing files	Statutory
Contracts and Tendering			
Pre-Contract Advice			
The process of calling for expressions of interest	Destroy 2 years after contract let or not proceeded with	Expressions of Interest	Common practice
Specification and Contract Development			
The process involved in the development and specification of a contract	Ordinary contracts destroy 6 years after the terms of contract have expired	Tender specification. Note: for project files containing drafts leading to a final version these	Statutory

	Contracts under Seal destroy 12 years after the terms of contract have expired	records can be destroyed	
Tender Issuing and Return			
The process involved in the issuing and return of a tender	Destroy 1 year after start of the contract	Opening notice, Tender envelope	Common practice
Evaluation of tender	Ordinary contracts destroy 6 years after the term of contract have expired Contracts under Seal destroy 12 years after the terms of contract have expired	Evaluation criteria	Statutory
Successful tender document	Ordinary contracts destroy 6 years after the terms of the contract have expired. Contracts under seal destroy 12 years after the terms of the contract have expired	Tender documents, quotations	Statutory
Unsuccessful tender documents	Destroy 1 year after start of contract	Tender documents, quotations	Common practice
Post Tender Negotiation			
The process in negotiation of a contract after a preferred tender is selected	Destroy 1 year after the terms of contract have expired	Clarification of contract. Post tender negotiation minutes	Common practice

Awarding of Contract			
The process of awarding a contract	<p>Ordinary contracts destroy 6 years after the terms of the contract have expired</p> <p>Contracts under seal destroy 12 years after the terms of the contract have expired</p>	Signed contract	Statutory
Contract management			
Contract operation and monitoring	Destroy 2 years after the terms of contract have expired	<p>Service level agreements</p> <p>Compliance reports</p> <p>Performance reports</p>	Common practice
Management and amendment of contract	<p>Ordinary contracts destroy 6 years after the terms of contract have expired</p> <p>Contracts under seal destroy 12 years after the terms of contract have expired</p>	Minutes and papers of meetings. Changes to requirements. Variation forms. Extension of contract, complaints, disputes on payment	Statutory

Bye-Laws			
The process of making local laws	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	Master set of bye-laws. Policy Development documents, correspondence and submissions	Common practice
The process of administering and enforcing bye-laws	Destroy 6 years after certificate has expired or penalty payment has been made or the matter has been finished or correspondence on the matter has ceased	Applications and certificates, permits, licenses, infringement notices, correspondence	Common practice

ENFORCEMENT, LICENSING AND PROSECUTION

Licensing			
Summary management systems that allow the monitoring & management of registration, certification and Licences registration requirements in summary form	Destroy 1 year after licence ceases	Taxi Register	Common Practice
The administration of applications, registration, certification and Licences in relation to Local authorities' registration requirements	Destroy 2 year after registration or entitlement lapses	Animal Boarding Establishment licences Applications for animal registration, registration of a business premises, applications for the release of animals impounded. Register of taxi drivers, beauty therapists, licenses, gaming, fire certification, disabled parking permits, blue badge, registration to sell, poison, animal welfare licenses, skin piercer registration	Statutory
Notices			
Notices issued to licensee	Destroy 2 year after matter is concluded	Objections to Notices Appeals Against Notices	Common practice

		Registration of Premises Infringement Notices	
Investigation, Inspection and Monitoring			
The process of investigation, monitoring or inspection laws in the responsibility of the local authority	Destroy 7 years from last action. Food, Health and Safety and Animal Welfare Premises: Destroy 6 months after RDC becoming aware that a business has ceased trading or accident or infectious disease investigations, in which case destroy 7 years from last action	Trading standards sample and inspection records, fire certificate compliance inspections, food, health and safety, infectious disease and animal welfare premises inspection records and correspondence	Common practice
Prosecution			
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	Prosecution/sanction files Simple Cautions Fixed Penalty Notices Works undertaken in default	Common practice

HUMAN RESOURCES

Function Description	Retention Action	Examples of Records	Notes
Personnel administration			
<p>Personnel records. Summary management systems that allow the monitoring & management of employees in summary form.</p> <p>Note: The summary information that this record class attempts to capture is: -</p> <p>Name DOB Marital status Gender Date of appointment Next of kin Emergency contacts Work history details Position/designation Titles & dates held Salary details</p>	<p>Destroy 7 years from last date of employment. Salary record, Timesheets, Overpayments, Pay slips, – destroy after 6 years</p> <p>Flexi time – rolling 2 years from end of flexi period, unless time keeping is disputed. WTD opt-out form, duration of employment or 3 years after opt-out has been rescinded or ceased to apply. Establishment Lists - retain for up to 5 years for reasons relating to recruitment etc. Employee contact details, duration</p>	<p>Personnel records</p>	<p>Common practice</p> <p>Limitations Act 1980 HMRC CH14530 (PAYE recordkeeping guidelines) RGLA 2003 Working Time Regulations 1998</p>

	of employment in post/section Salary verification and Benefit Agency enquiries - rolling 6 months		
Identification & development of significant directions concerning industrial matters	6 years after leaving date	<ul style="list-style-type: none"> • Generic agreements and awards • Negotiations • Disputes • Claims lodged 	Limitations Act 1980
Liaison processes of minor and routine industrial matters	Destroy 2 years after administrative use is concluded	Daily industrial relations management	Common practice
Processing of disciplinary and grievances investigations where proved	<p>Oral Warning – 6 months Written Warning - 1-year Final Warning – 18 months</p> <p>Grievances – 1 year from resolution (including exhaustion of Employment Tribunal rights)</p> <p>The above warnings to be removed & destroyed after the relevant time has 'spent'.</p> <p>Warnings Involving Children – placed on personal file permanently</p>	Disciplinary	Common practice
Processing of disciplinary and	Destroy immediately	Disciplinary	ICO (Employment

grievances investigations where unfounded	after the grievance has been found to be have been unfounded; or after appeal		Practices) Code section 2.13.1
Disciplinary/grievance involving allegations of safeguarding	To be retained until the employee has retired or for a period of 10 years from the date of allegation, if longer		Safeguarding guidance
Capability	1 year after confirmation of satisfactory performance in employment		Common practice
The process of checking and ensuring the health of staff	Destroy 8 years after date of check Health surveillance reports, duration of employment plus 6 years	<ul style="list-style-type: none"> • Health questionnaire • Medical clearance • Adjustment to work place • Restrictions • Recommendations 	Common practice
Performance of staff	Destroy 6 years after action completed	Probation reports Performance plans	Common practice
The process of termination of staff through voluntary redundancy, dismissal and retirement	Destroy 7 years after termination If a pension is paid, then records should be destroyed 6 years after last payment of pension	<ul style="list-style-type: none"> • Resignation • Redundancy (Section 188) • Dismissal • Death • Retirement • References 	Common practice
DBS Checks	Destroy and only keep record of disclosure number and date of on personal file only		Disclosure documents should not be kept on personal file – Section 124 Police Act 1997

FINANCIAL MANAGEMENT

Function Description	Retention Action	Examples of Records	Notes
Accounts and Audit Reporting			
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	Consolidated annual reports, consolidated financial statements, statement of financial position, operating statements, general ledger	Common practice
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	Consolidated monthly and quarterly reports. Consolidated monthly and 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 Transaction Management			
Management of the approvals process for purchase including investigations	Destroy 7 years after end of the financial year in which the records were created	Appointments and delegations, audit investigations, arrangements for the provisions of goods and/or services	Statutory or where applicable CH15000
Identification of the receipt, expenditure	Destroy 3 years after	Allowances, invoices,	Statutory

and write-offs of public monies	conclusion of the financial transaction that the record supports.	VAT records Work orders, credit card statements, cash books, receipts, cheque counterfoils, bank statements, subsidiary ledgers, journals, vouchers	
Process involving the provision and support for individuals using public transportation	Destroy 6 years after conclusion of the financial transaction that record supports	Applications, card issue, rail warrants	Statutory
Processes that balance and reconcile financial accounts	Destroy 2 years after administrative use is concluded	Reconciliation, summaries of accounts	Common practice
Taxation records	Destroy 2/7 years after the end of the financial year in which they were created. Destroy 6 years after the end of the financial year in which the records were created	Motor vehicle log books, fringe benefits tax, records, group certificates. HMRC returns	Statutory
Processes involved in the collection of National Insurance Number	Destroy 2 years after the employee cease employment	Notification and input records	Common practice
Payroll			
Accountable processes relating to payment of employees	Destroy 6 years after conclusion of the financial transaction that the record supports	Authority sheets, payroll deduction authorities, payroll disbursement, employee pay records, employee taxation records	Statutory

Non-accountable processes relating to payment of employees	Destroy after administrative use is concluded	Summary employee pay reports	Common practice
Financial provisions			
Budgets and Estimates			
The process of finalising local authorities' annual budget	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	Annual budget	Common practice. Only the final version of the budget needs to be kept
The process of developing local authorities' annual budget	Destroy 2 years after annual budget adopted by local authorities	Draft budgets, departmental budgets and draft estimates	Common practice
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	Month reports	Common practice
Loans			
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	Loan files	Common practice
Summary management of loans	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	Loans register	Common practice
Housing			
The process of offering financial help with welfare housing provision and maintenance	6 years from the date the records created		Limitations Act 1980
Mortgages	Last payment + 6 years if signed. Last payment + 12 years if sealed	Mortgage agreements correspondence	Statutory

Right to Buy	Destroy 12 years after sale of house	Sale documents, agreement concerning sale	Common practice
Rent payments	Destroy 7 years after the end of the financial year in which created	Rent books, correspondence concerning payment, requests for payment	Statutory
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	Agreement to pay loan, details of payments, correspondence relating to loan	Statutory
Council Tax Valuation			
The valuation of rateable land within a municipal district for the purpose of the making of the rate	Valuation lists – permanent. Other documents - Destroy 6 years after the year in which the valuation was made	Valuation lists, correspondence, objections, reports	Common practice
Property History			
The recording of information for rateable properties identifying the person or company rated, including details of the value of the property	Permanent	Rate books, rate cards, register of rateable properties	Common practice

Rates and Local Authorities Tax Correspondence			
The activity of corresponding with ratepayers in relation to valuations, rates and charges, objections, submissions, appeals, rate remissions and other rates related matters	Destroy 3 years after last action	Notices, objections, applications, correspondence, rate certificates, notices of acquisition and disposition. Rate property files	Common practice
Summary Assets Management			
Summary management reporting on the overall assets of the local authority	6 years after disposal of asset	Schedule of acquisitions. Consolidated current asset reports, annual reports, summary of current asset, asset registers	Common practice
Asset Monitoring and Performance			
Management systems that allow the monitoring and management of assets in summary form	Destroy 7 years after conclusion of the financial transaction that the record supports	Subsidiary asset registers	Common practice
Process of reporting and reviewing assets status	Destroy 2 years after administrative use is concluded.	Routine returns and reports on asset status, inventories, stocktaking, surveys of usage, acquisition and disposal reports and proposals.	Common practice
The process of maintaining assets	Destroy 7 years after last action	Garden maintenance, cleaning, painting	Common practice
The process of maintaining plant and equipment	Destroy 7 years after sale or disposal of asset	Service records, plant files	Common practice

Asset Acquisition and Disposal			
Management of the acquisition (by financial lease or purchase) and disposal (by sale or write off) process for assets	Destroy 6 years if under £50,000 or 12 years if over £50,000, after all obligations or entitlements are concluded	Legal documents relating to the purchase, sale. Particulars of sale documents, board of survey, leases, applications for leases, licenses, rentals. Tender documents, conditions of contract, certificates of approval	Statutory
Investments			
The activity of investing money to enable a local authority to perform its functions and exercise its powers	Destroy 2 years after the investment has been repaired	Investment files	Common practice

PROPERTY AND LAND MANAGEMENT

Function Description	Retention Action	Examples of Records	Notes
Property and Land Management			
Reports to management on overall property of the local authority	Permanent. Offer to Archivist, transfer to place of deposit after administrative use is concluded	Consolidated property and buildings annual reports, summary of leased property, summary of council owned property, site register, register of leases	Common practice
Property Acquisition and Disposal (see also Conveyance)			
Management of the acquisition by financial lease or purchase process for real property	Retain for life of property or building plus 12 years. Offer material re major/significant properties to Archivist for review	Plans	Common practice
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.	Legal documents relating to sale, particulars of sale documents, board of survey, tender documents and conditions of contract	Common practice
Property Development and Renovation			
The process of managing and undertaking renovations and development of property	Permanent. Offer to Archivist, transfer to place of deposit after administrative use is concluded		Common practice

Management – buildings and estates of special interest	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	Project specifications, plans, installation manuals, certificates of approval	Common practice
Management – all other buildings and estates	Retain for life of property or building	Project specifications, plans, installation manuals, certificates of approval	Common practice – for asbestos see health and safety
The action process involved in development and renovation of property	Destroy 7 years after conclusion of transaction the record supports	Work orders, tender documents, conditions of contract	Common practice
Leasing and Occupancy			
The process of managing leased property	Destroy 15 years after the expiry of the lease	Lease agreements, rental expenditure authorities, valuation queries, applications for leases, licenses and rental revision	Common practice
The process of managing the occupancy of property	Destroy 7 years after the conclusion of the transaction the record supports	Request for works, cleaning etc	Common practice
Housing Provision			
The process of managing local authority housing estates	Destroy 4 years after last action	Stock monitoring records	Common practice
Systems Management			
The internal process to develop or extend the capabilities of a system used to support the activities of the Council	Retain for life of the system then destroy		
The process to implement a system used to support the activities of the Council	Destroy 6 years after last action	Implementation plan	
The process to support and administer a	Destroy 6 years after last		

system used to support the activities of the Council	action		
Transport Management			
The process of acquisition and disposal of vehicles through lease or purchase	Destroy 6 years after the disposal of the vehicle	Leases, contracts, quotes and approvals	Limitations Act 1980
The process of managing allocation and maintenance of vehicles	Destroy 6 years after the sale or disposal of the vehicle	Approvals as drivers, allocations and authorisations for vehicles maintenance	Limitations Act 1980
The process of recording vehicle usage	Destroy 6 years after the sale or disposal of vehicle	Vehicle usage reports	Limitations Act 1980
The process of recording drivers' usage	Destroy 6 years after closure	Vehicle log book	Limitations Act 1980
Insurance - Policy Management			
The summary management of insurance arrangements	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	Insurance register	
The process of insuring local authority officers, property, vehicles and equipment against negligence, loss or damage	Destroy 7 years after the terms of the policy have expired	Insurance policies, correspondence	ESD LGRR
The process of renewing insurance policies	Destroy 7 years after the insurance policy has been renewed	Insurance Policy, renewal records, correspondence	
Claims Management			
The process that records insurance claims against the local authority or local authority officers	Keep for the following periods: - Unpaid claimed – Claims involving children – keep until 25 th birthday	Claims records and correspondence	Limitations Act 1980

	<p>Injury – 4 years after end of the financial year in which the claim was completed.</p> <p>Damage to 3rd parties – 7 years after end of financial year in which claim was completed.</p> <p>Damage to property – 1 year after end of financial year in which claim was completed.</p> <p>Subsidence – permanent.</p> <p>Settled claims – 6 years after end of financial year in which the claim was completed.</p>		
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HEALTH AND SAFETY

Function Description	Retention Action	Examples of Records	Notes
Health and Safety – Rochford District Council Premises and Staff			
Inspections and Assessments			
Process of inspecting equipment to ensure it is safe	Destroy 6 years from destruction of the equipment	Equipment inspection records	Limitations Act 1980
Process of carrying out monitoring to ensure that the process is safe	Destroy 6 years from last action	Monitoring results	Statutory
Process of monitoring areas where employees and persons are likely to have become in contact with asbestos	Destroy 40 years from last action	Property asbestos files	Common practice based on statutory – Control of Asbestos Regulations 2012
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 greatest	Radon monitoring	Ionising Radiation Regulations 1999
Process to assess the level of risk	Destroy 6 years from last assessment	Risk assessment	Statutory Limitations Act 1980
Accident reporting - adults	Destroy 4 years from date of accident	Accident books	Statutory Reporting of Injuries Diseases & Dangerous Occurrences Regulations 2013
Accident reporting - injuries to children	Destroy 25 years from date of accident	Accident books	Statutory
Registration Certification and Licensing			
Summary management systems that allow the monitoring and management of registration, certification and licenses	Permanent. Offer to Archivist. Transfer to place of deposit after	Visual impairment register	Common practice

registration requirements in summary form	administrative use is concluded		
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 lapses or entitlement lapses	Diesel licenses, petroleum licenses, health and safety licensing, hazardous substances, contaminated land register/pollution	Common practice
Notification			
The process of issuing notices to citizens with respect to particular responsibilities	Destroy 2 years after the matter is concluded	Fire prevention notices, infringement notices, objections, appeals to notices,	Common practice
Prosecution			
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	Prosecution/sanction files	Common practice

EMERGENCY PLANNING

Emergency planning			
Process to develop the emergency/disaster plan for the local community	Destroy once plan ceases to be current	Major incident plan	Common practice
Process of recording the results of the test for emergency/disaster plan for the local community	Destroy 6 years after closure	Emergency Plan Testing of plan Training of staff	Common practice
Major Incident			
Activities that report on all major incidents in the local community. Whether the emergency plan has been invoked or not	Destroy 25 years after incident	Logs Post incident reports	Common practice
Activities that report on all minor incidents in the local community	Destroy 6 years after closure		Common practice
Business Continuity			
Development of business continuity plans	Destroy once plan ceases to be current	Directorate BC plans Corporate BC plans	Common practice

CEMETERIES

Cemeteries			
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	Register of interments, cemetery register and plans	Common practice The Cremation (England and Wales) Regulations 2008
The process of regulation of burials and cremations	Destroy 15 years after last action	Permits, applications and orders	Common practice The Cremation (England and Wales) Regulations 2008

WASTE MANAGEMENT

Function	Retention Period	Examples of records	Notes
Waste Management – the provision of hard waste removal, destruction and waste reduction services by the local authority to rate payers			
Collection / Storage			
The process of arranging collection or transportation of household waste	Destroy 6 years after last action		Common practice Environmental Protection (Duty of Care) Regulations 1991 NB – The waste management contractor must retain notes for 6 years under landfill tax legislation
The process of arranging collection or transportation of controlled waste	Destroy 6 years after last action		Common practice
The process of the short-term storage of household waste	Destroy 6 years after site closure	Transfer sites	Common practice

PLANNING AND LAND USE

Function Description	Retention Action	Examples of Records	Notes
Planning Scheme Development and Amendment			
The activity of developing a vision and strategic directions regarding existing and future land use within the local authority and development of local and town centre plans	Permanent. Offer to Archivist when plan superseded	Local plan, Town Centre plans	Common practice
The activity of consultation to gain approval for Local plan	Permanent. Offer to Archivist for review after 3 years	Consultation documents and replies. Inquiries and objections made by members of the public, Public Inquiry documents	Common practice
The activity of recording information on historical buildings, monuments and ecology at a specific site	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	Sites and Monuments records, ecological records, species records. Historically listed buildings, definitive maps, commons registration	Common practice
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	Land Use Surveys	Common practice
The process of controlling development of areas through applications for planning permission	Transfer planning application register to Archivist once the register has been completed. Refer to all other records to Archivist for sampling	Planning application files and plans, correspondence relating to any objections. Hearing papers, planning application register	Common practice

The process of maintaining the countryside and developing open spaces for public amenity	Refer all files relating to policy to the Archivist. Destroy 7 years after administrative use concluded	Tree Preservation Orders, country parks and nature reserves development plans and correspondence. Land purchase agreements	Common practice
Planning Scheme Regulation			
The summary management of planning scheme regulation	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	Building control registers	Common practice
The process of regulating the planned use of land or buildings	Destroy 15 years after closure		Common practice
The process of approving building application in relation to listed or other significant buildings	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	Building files, plans, specifications, correspondence, applications, permits and certificates	Common practice
The process of approving building applications for all other buildings	Destroy 10 years after construction completed	Building files, plans specifications, correspondence, applications, permits and certificates	Common practice
The process of inspecting building work for the purpose of insuring compliance	Destroy 10 years after the issue of a certificate of final inspection	Certificate of final inspection, building inspection records, diaries	Common practice
The process of enforcing building or land regulations	Destroy 3 years after compliance with enforcement notice		Common practice

INFRASTRUCTURE, HIGHWAYS AND PARKING

Function Description	Retention Action	Examples of Records	Notes
Planning and Development			
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	Local transport plan	Common practice
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	Definitive map, correspondence concerning enquiries and disputes	Common practice
The process of receiving, considering and responding to submissions, objections to planning schemes and amendments	Destroy 7 years after decision. Offer controversial/high profile schemes to archivist	Enquiries, consultation documents, objections and correspondence	Common practice
Infrastructure Management and Maintenance			
The activity of providing municipal services in relation to infrastructure within the local authority	Destroy 7 years after last action	Street files, street records, requests for hedge clipping, tree planting, naming of roads, numbering of houses, street signs, roundabouts, street lighting	Common practice
Parking			
Car park season ticket application forms	6 years from date of application		HMRC requirement – VAT purposes
Parking enforcement cases	6 years from closure of case		Common practice

