



**Rutland**  
County Council

## **DOCUMENT RETENTION SCHEDULES**

Our retention schedules are based on our statutory and discretionary business functions, activities and processes. Each specific retention and disposal policy applies to all records that support business activity or process described in the schedule. The retention policies contained in the schedules apply to all records and data irrespective of media or format, the system in which they are held and storage location.

The retention schedules have been developed by the Data Protection Team in collaboration with service(s) responsible for the function(s) and those needing to use or access the records.

These retention policies are the definitive policy for retaining and disposing of records within Rutland County Council.

## 1. DEMOCRATIC DECISION MAKING AND SUPPORT (INCLUDING CIVIC SUPPORT):

| Ref No.   | Functional Description   | Retention Action   | Examples of Records  | Notes           |
|---|--|--|--|-----------------|
| <b>Elections:</b>                                 |  |  |  |                 |
| 1.1   | Summary certification of those eligible to vote  | <b>Permanent.</b>  | - Electoral Register   | Common Practice |
| 1.2   | Voting (Local Elections only)  | Destroy <b>6 months</b> from close of poll.  | - Ballot Papers  | Statutory       |
| 1.3   | Declaration of results   | Destroy <b>6 months</b> from date of election.   | - Consolidated Returns of votes received   | Statutory       |
| <b>Council and Committee Meetings:</b>            |  |  |  |                 |
| 1.4   | The process of preparing business for Council consideration and making the record of discussion, debate and resolutions.               | Destroy Paper copies after <b>6 years</b>  | - Council Minutes<br>- Agendas<br>- Indexes  | Common Practice |
| 1.5   | Signed Minutes   | <b>Permanent.</b><br>Transfer to Place of Deposit after administrative use is concluded.                                       | - Official Copy of Confirmed Minutes Signed by the Chairman.   | Statutory       |
| 1.6   | Minute taking  | Destroy after the date of confirmation of the minutes.   | - Draft/Rough minutes<br>- Audio Tapes   | Common Practice |
| <b>Partnership. Agency and External Meetings:</b> |  |  |  |                 |
| 1.7   | The process of preparing business for partnership and agency consideration and making the record of discussion, debate and resolution. | <b>Permanent.</b> Transfer to the Place of Deposit after administrative use is concluded.<br><br>Destroy after <b>6 years.</b> | - Documents establishing the committee<br>- Minutes<br>- Agendas<br><br>- Council Reports<br>- Recommendations<br>- Supporting documents i.e. briefing and discussion papers | Common Practice |

| <b>Honours and Submissions:</b>  |   |   |  |                 |
|----------------------------------|---|---|--|-----------------|
| 1.8                              | The process of preparing of honours submissions.                  | Destroy <b>5 years</b> after last action. | <ul style="list-style-type: none"> <li>- Honours nomination form</li> <li>- Covering documentation</li> <li>- Letters of support</li> <li>- Referral for comment from Lord Lieutenant</li> </ul> | Common Practice |
| <b>Political Parties Papers:</b> |   |   |  |                 |
| 1.9                              | The process of undertaking representation of the Local Authority. | Destroy <b>3 years</b> after last action. | <ul style="list-style-type: none"> <li>- Leader of opposition papers</li> <li>- Leader of Council papers</li> </ul>  | Common Practice |

## 2. MANAGEMENT AND ADMINISTRATION:

| Ref No.                                  | Functional Description     | Retention Action              | Examples of Records | Notes           |
|--|----------------------------|-------------------------------|---------------------|-----------------|
| <b>Corporate Planning and Reporting:</b> |                            |                               |                     |                 |
| 2.1                                      | The corporate planning and | <b>Permanent.</b> Transfer to | - Corporate Plans   | Common Practice |

|  |  |   |  |  |
|--|--|---|--|--|
|  | reporting activities of Local Authorities  | Place of Deposit.                                 | <ul style="list-style-type: none"> <li>- Strategy Plans</li> <li>- Annual Reports</li> </ul>   |  |
| <b>Statutory Returns:</b>                          |  |   |  |  |
| 2.2  | The process of preparing information to be passed on to Central Government as part of statutory requirements.                              | Destroy <b>7 years</b> from closure.              | <ul style="list-style-type: none"> <li>- Reports to Central Government</li> </ul>  | Common Practice                          |
| <b>Policy, Procedures, Strategy and Structure:</b> |  |   |  |  |
| 2.3  | Activities that develop policies, procedures, strategies and structures for Local Authorities.   | <b>Permanent.</b> Transfer to place of deposit.   | <ul style="list-style-type: none"> <li>- Policy, Procedure, Precedent, Instructions</li> <li>- Asset Management Plan</li> <li>- Community Strategy</li> <li>- Community Plan</li> <li>- Community Safety Plan</li> </ul> | Common Practice                          |
| 2.4  | The process of monitoring and reviewing strategic plans, policies or procedures to assess their compliance with guidelines.                | Destroy <b>5 years</b> from process.              |  | Common Practice                          |
| <b>Information Management:</b>                     |  |   |  |  |
| 2.5  | The activity whereby standards, authorities, restraints and verifications are introduced and maintained to manage information effectively. | <b>Permanent.</b> Transfer to Place of Deposit.   | <ul style="list-style-type: none"> <li>- Classification Schemes</li> <li>- Registers</li> <li>- Indexes</li> <li>- Authorised Lists of File Headings</li> </ul>  | Common Practice                          |
| 2.6  | The management of collections of records transferred to the archives   | <b>Permanent.</b> Transfer to Place of Deposit.   | <ul style="list-style-type: none"> <li>- Accession Registers</li> <li>- Depositor Files</li> </ul>   | Common Practice                          |
| 2.7  | The process that records the disposal of records   | Destroy <b>12 years</b> after last action         | <ul style="list-style-type: none"> <li>- Disposal Certificates</li> </ul>  | Common Practice based on Limitations Act |
| <b>Enquiries and Complaints:</b>                   |  |   |  |  |
| 2.8  | The management in summary form of enquiries  | <b>Permanent.</b> Transfer to a Place of Deposit. | <ul style="list-style-type: none"> <li>- Indexes</li> <li>- Registers</li> </ul>   | Common Practice                          |

|  |   |   |   |                 |
|--|---|---|---|-----------------|
|  | and complaints direction to the Council   |   |   |                 |
| 2.9  | The management of enquiries, submissions and complaints which result in significant changes to policy or procedures | Destroy <b>6 years</b> after the closure of the file  | <ul style="list-style-type: none"> <li>- Reports</li> <li>- Returns</li> <li>- Correspondence</li> <li>- Ombudsman</li> </ul> | Common Practice |
| 2.10                                       | The management of detailed responses on Council actions, policy and procedures                                      | Destroy <b>6 years</b> after administrative use is concluded.                               | <ul style="list-style-type: none"> <li>- Printed material</li> <li>- Forms/Letters</li> </ul>                                 | Common Practice |
| 2.11                                       | The management of routine responses on Council actions, policy or procedures  | Destroy <b>2 years</b> after administrative use.  | <ul style="list-style-type: none"> <li>- Printed material</li> <li>- Forms/Letters/Emails</li> </ul>                          | Common Practice |
| <b>Quality and Performance Management:</b> |   |   |   |                 |
| 2.12                                       | The process of monitoring or reviewing the quality, efficiency or performance of a Local Authority service or unit. | Destroy <b>5 years</b> from closure.  | <ul style="list-style-type: none"> <li>- Best Value Review</li> </ul>   | Common Practice |
| 2.13                                       | The process of assessing the quality, efficiency or performance of a Local Authority service or unit.               | Destroy <b>2 years</b> from closure.  | <ul style="list-style-type: none"> <li>- Assessment Form</li> </ul>   | Common Practice |
| <b>Public Relations:</b>                   |   |   |   |                 |
| 2.14                                       | The process of designing and setting information for publication  | Destroy <b>3 years</b> from last action.  |   | Common Practice |
| 2.15                                       | The published work of the Local Authority   | Destroy after administrative use is concluded.<br><i>Note: One copy should be archived.</i> |   | Common Practice |
| <b>Media Relations:</b>                    |   |   |   |                 |
| 2.16                                       | The process of interaction  | Destroy <b>3 years</b> from   |   | Common Practice |

|   |   |  |  |                 |
|---|---|--|--|-----------------|
|   | with the media  | closure.   |  |                 |
| 2.17                                      | Media publications concerning Local Authorities   | <b>Permanent.</b> Transfer to Place of Deposit.              | <ul style="list-style-type: none"> <li>- Press Cuttings</li> <li>- Media Reports</li> </ul>  | Common Practice |
| <b>Marketing:</b>                         |   |  |  |                 |
| 2.18                                      | The process of developing and promotion of Local Authorities' campaigns and events.   | <b>Permanent.</b> Transfer to Place of Deposit               |  | Common Practice |
| <b>Civic and Royal events:</b>            |   |  |  |                 |
| 2.19                                      | The recording of ceremonial events and civic occasions.   | <b>Permanent.</b> Offer to archivist.                        | <ul style="list-style-type: none"> <li>- Visitor Book</li> <li>- Audio Tapes</li> <li>- Video Tapes</li> <li>- Photographs</li> <li>- Newspaper Clippings</li> </ul> | Common Practice |
| 2.20                                      | The process of organising a ceremonial event or civic occasion.   | Destroy <b>7 years</b> after administrative use is concluded |  | Common Practice |
| <b>Appointment of Statutory Officers:</b> |   |  |  |                 |
| 2.21                                      | Summary management systems the allow the monitoring and management of statutory officers in summary form.                                 | <b>Permanent.</b> Transfer to Place of Deposit.              |  | Common Practice |
| 2.22                                      | The process of administering employees to ensure that entitlements and obligations are in accordance with agreed employment requirements. | Destroy <b>6 years</b> after departure from employment.      |  |                 |
| 2.23                                      | The process of selection of an individual for a statutory position.   | Destroy <b>2 years</b> after date of appointment.            | <ul style="list-style-type: none"> <li>- Vacancies and Application Records</li> <li>- Interview notes</li> <li>- Prospective staff records</li> </ul>                |                 |

|  |  |  |   |  |
|--|--|--|---|--|
|  |  |  | <ul style="list-style-type: none"> <li>- Registers of Applicant</li> <li>- Unsuccessful applications records</li> </ul> |  |
|--|--|--|---|--|

### 3. HOUSING OPTIONS:

| Ref No.                    | Functional Description  | Retention Action                                  | Examples of Records   | Notes           |
|----------------------------|---|---|---|-----------------|
| <b>Housing Provisions:</b> |   |   |   |                 |
| 3.1                        | The registration of individuals housing applications.                     | <b>Permanent.</b> Transfer to Place of Deposit    | - Council Housing Register  | Common Practice |
| 3.2                        | The process of applying for council housing. (Unsuccessful applications). | Destroy <b>12 months</b> after closure.           | <ul style="list-style-type: none"> <li>- Housing application forms and supporting material.</li> <li>- Applications for transfer of tenancy and supporting papers.</li> </ul> | Common Practice |
| 3.3                        | Information on type of housing stock available.                           | Destroy <b>12 months years</b> after last action. | - Housing application guidance notes (containing details of how to apply and current stock)   | Common Practice |

#### 4. LEGAL:

| Ref No.            | Functional Description  | Retention Action  | Examples of Records   | Notes           |
|--------------------|---|---|---|-----------------|
| <b>Litigation:</b> |   |   |   |                 |
| 4.1                | The process of managing, undertaking or defending for or against litigation on behalf of the Local Authority. | Destroy <b>7 years</b> after last action. Major litigation – offer to archivist for review. | <ul style="list-style-type: none"> <li>- Criminal case file</li> <li>- Civil case file</li> <li>- Correspondence</li> </ul> | Common Practice |
| <b>Advice:</b>     |   |   |   |                 |
| 4.2                | The process of providing legal advice on point of law.  | Destroy <b>6 years</b> after last action. Major precedent – offer to archivist for review.  |   | Common Practice |
| <b>Agreements:</b> |   |   |   |                 |
| 4.3                | The process of agreeing terms between organisations. Note this does not include contractual agreements.       | Destroy <b>6 years</b> after agreement expires or is terminated.                            | <ul style="list-style-type: none"> <li>- Concordant</li> </ul>  | Common Practice |
| <b>Conveyance:</b> |   |   |   |                 |
| 4.4                | The process of changing ownership of land and   | Destroy <b>12 years</b> after closure.  | <ul style="list-style-type: none"> <li>- Legal files relating to land, council land and</li> </ul>                          | Statutory       |



|  |  |   |  |           |
|--|--|---|--|-----------|
|  | property.  |   | property transactions.   |           |
| <b>Contracts and Tendering Pre Procurement Advice:</b>       |  |   |  |           |
| 4.5  | Pre-procurement contract advice                    | Ordinary Contracts destroy <b>6 years</b> after the terms of contract have expired  | - Advice relating to the procurement strategy, application of procurement law, the process of calling for expressions of interest and suitable evaluation criteria/methodology   | Statutory |
| <b>Advertising the Contract Opportunity:</b>                 |  |   |  |           |
| 4.6  | The process of calling for expressions of interest | <u>Ordinary Contracts</u> destroy <b>6 years</b> after the terms of contract have expired. Contracts Under Seal destroy <b>12 years</b> after the terms of contract have expired.<br><i>An electronic copy of the Notice will suffice</i> | - Contracts Finder Notice (CFN) – New Opportunity Notice and Contract Award Notice, for Contracts valued £25,000 and above<br><br>- Prior Information Notice (PIN) – for contracts above EU threshold<br><br>- Official Journal of the European Union (OJEU) Notice – Contract Notice, for contracts above EU thresholds<br><br><i>Note: for details of the EU thresholds see the current version of the Contract Procurement Rules.</i> | Statutory |
| <b>Specification and Contract Documentation Development:</b> |  |   |  |           |
| 4.7  | The process involved in developing the contract    | Ordinary Contracts destroy <b>6 years</b> after the terms of  | - Tender Specification<br>- Service Level Agreement  | Statutory |

|  |   |  |  |                 |
|--|---|--|--|-----------------|
|  | specification, the service levels/key performance indicators and the conditions of contract | contract have expired<br>Contracts Under Seal destroy <b>12 years</b> after the terms of <b>contract have</b> expired  | - Conditions of Contract<br><br><i>Note: for project files containing drafts leading to a final version these records may be destroyed provided that a final version of the specification and/or conditions of contract are formally embodied within the signed or sealed contract document otherwise the 6 year and 12 year rule applies.</i> |                 |
| <b>Tender Issuing and Return Process:</b>  |   |  |  |                 |
| 4.8  | The process involved in the issuing and return of the tender documentation.                 | Destroy <b>1 year</b> after start of contact   | - Opening Notice<br>- Tender Envelope  | Common Practice |
| <b>Evaluation of Tender Documentation:</b> |   |  |  |                 |
| 4.9  | Tender evaluation criteria  | <u>Ordinary Contracts</u> Destroy <b>6 years</b> after the terms of contract have expired.<br>Contracts Under Seal Destroy <b>12 years</b> after the terms of contract have expired. | - Evaluation criteria/methodology  | Statutory       |
| 4.10                                       | Successful tenderers documentation  | Ordinary Contracts destroy <b>6 years</b> after the term of contract have expired<br>Contracts under Seal destroy <b>12 years</b> after the terms of contract have expired           | - Suitability Questionnaire - (below EU threshold) or Standard Selection Questionnaire (above EU threshold)<br>- Request for Quotation (RFQ) - below £50,000<br>- Invitation to Tender (ITT) documentation – above £50,000   | Statutory       |
| 4.11                                       | Unsuccessful tenderers documentation  | Destroy 12 months from the date of contract award  | - Suitability Questionnaire (below EU threshold) or  | Common Practice |

|   |   |   |  |                 |
|---|---|---|--|-----------------|
|   |   |   | Standard Selection Questionnaire (above EU threshold)<br>- Request for Quotation (RFQ) - below £50,000<br>- Invitation to Tender (ITT) documentation – above £50,000   |                 |
| <b>Post Tender Clarification and Negotiation:</b> |   |   |  |                 |
| 4.12  | Post tender clarification and negotiation records       | Destroy <b>three years</b> from the date of contract award  | <i>Note:</i> 'negotiation' is only permitted under the requirements of the EU Regulations and in compliance with the Contract Procedure Rules  | Common Practice |
| <b>Contract Award:</b>                            |   |   |  |                 |
| 4.13  | The process of awarding the Contract                    | Ordinary Contracts destroy <b>6 years</b> after the terms of contract have expired.<br><br>Contracts Under Seal destroy <b>12 years</b> after the terms of contract have expired. | - Award letters to the successful applicant(s) and tenderer(s)<br>- Official Journal of the European Union (OJEU) Notice – Contract Award Notice for contracts above EU threshold<br>- Award Notice for contracts above EU threshold | Statutory       |
| <b>Contract Management:</b>                       |   |   |  |                 |
| 4.14  | The process of managing and administrating the Contract | Destroy <b>2 years</b> after the contract has expired; or following completion of all post contract activities  | - Record of contract review meeting<br>- Management information/data and performance monitoring records  | Common Practice |
| 4.15  | Amendment to the Contract                               | Ordinary Contracts - Destroy <b>6 years</b> after the terms of  | - Changes to requirements<br>- Variation Forms   | Statutory       |

|  |  |   |  |  |
|--|--|---|--|--|
|  |  | contract have expired.<br><br>Contracts Under Seal<br>destroy <b>12 years</b> after the<br>terms of contract have<br>expired. | <ul style="list-style-type: none"><li>- Extension of Contract</li><li>- Dispute on payment</li></ul> |  |
|--|--|---|--|--|

**5. HUMAN RESOURCES:**

| Ref No.                                     | Functional Description  | Retention Action   | Examples of Records  | Notes           |
|---|---|--|--|-----------------|
| <b>Personnel Administration:</b>            |   |  |  |                 |
| 5.1   | <p>Summary management systems that record the monitoring and management of employees in summary form.</p> <p><i>Note: The summary information that this record class attempts to capture is:-</i></p> <p>Name<br/>Date of Birth<br/>Date of Appointment<br/>Work History Details<br/>Position/Designation<br/>Titles and Dates Held</p> | <b>Permanent.</b> (By Payroll)   | <ul style="list-style-type: none"> <li>- Employment Registers for permanent, temporary or casual staff.</li> <li>- Superannuation History</li> <li>- Personal History Cards</li> </ul>   | Common Practice |
| 5.2   | <p>The process of administering employees to ensure that entitlements and obligations are in accordance with agreed employment requirements.</p> <p>Records containing superannuating information</p> <p>Disclosure &amp; Barring Service Number and expiry date</p>  | <p>Destroy <b>6 years</b> from Last date of service</p> <p>Destroy <b>6 years</b> after last review.</p> | <p>Personal File Date:</p> <ul style="list-style-type: none"> <li>- Application form/CV</li> <li>- Letter of appointment</li> <li>- Letter of acceptance</li> <li>- Acceptance form</li> <li>- Medical clearance</li> <li>- Statement of particulars</li> <li>- Induction checklist</li> <li>- Starters form</li> <li>- Job description</li> <li>- Job consultation</li> <li>- Educational qualifications</li> <li>- Declaration of interests</li> </ul> | Common Practice |
| <b>Employment and industrial Relations:</b> |   |  |  |                 |
| 5.4   | Identification and development of significant directions concerning   | <b>Permanent.</b> Transfer to Place of Deposit after administrative use is                               | <ul style="list-style-type: none"> <li>- Generic Agreements (White, Green and Purple Books)</li> </ul>   | Common Practice |

|     |  |  |   |                 |
|-----|--|--|---|-----------------|
|     | industrial matters.  | concluded.   | <ul style="list-style-type: none"> <li>- Negotiations/Consultations</li> <li>- Disputes</li> <li>- Claims lodged by Unions</li> <li>- Locally Agreed Procedures (Disciplinary, Grievance etc.)</li> </ul> |                 |
| 5.5 | Liaison processes of minor and routine industrial matters.   | Destroy <b>2 years</b> after administrative use is concluded.                                    | <ul style="list-style-type: none"> <li>- Daily Industrial Relations Management</li> <li>- E.g. new/updates to policies, flexible working, internet at work policy.</li> </ul>                             | Common Practice |
| 5.6 | Processing of investigations where proved: <ul style="list-style-type: none"> <li>• Disciplinary Issues</li> </ul> | Verbal Warning – <b>6 months.</b><br>Written warning – <b>1 year.</b><br>Final Written Warning 2 | <ul style="list-style-type: none"> <li>- Minutes of meetings</li> <li>- Investigation reports</li> <li>- Letters – formal</li> </ul>  | Common Practice |
|     |  |  |   |                 |

|     |  |  |   |                 |
|-----|--|--|---|-----------------|
|     | <ul style="list-style-type: none"> <li>• Grievance issues</li> <li>• Dignity at Work Issues</li> </ul> | <p><b>years.</b><br/>         Whilst the above warnings will be retained on file they will be discounted for disciplinary purpose after the time period for which they remain active has expired. Warnings involving safeguarding may be placed on the personal file permanently.</p> <p>Destroy <b>6 years</b> from last date of service.</p> | notification of warning.  |                 |
| 5.7 | Processing Investigations where unfounded: Disciplinary, Grievance and Dignity at Work Issues.         | Destroy within <b>6 months</b> after the completion of the issue.  | <ul style="list-style-type: none"> <li>- Disciplinary, Grievance and Dignity at Work</li> <li>- Investigation reports, witness statements, letters, minutes of hearing</li> </ul> | Common Practice |





|                                  |  |   |  |                  |
|----------------------------------|--|---|--|------------------|
|                                  |  |   | - Letters of enquiry   |                  |
| <b>Staff Monitoring:</b>         |  |   |  |                  |
| 5.11                             | Performance  | Destroy <b>6 years</b> from last date of service.   | - Probation reports<br>- Performance Management records, plans and appraisals  |                  |
| 5.12                             | Process of monitoring staff leave and attendance.  | Retain employment file or management file.  | - Sick leave<br>- Authorised absence   |                  |
|                                  |  |   |  | Common Practice  |
|                                  |  | Destroy <b>6 years</b> after completed.   | records e.g. jury service, study leave, special leave<br>- Flexitime sheets<br>- Annual leave cards<br>- Time sheets | Common Practice  |
| <b>Staff Retention:</b>          |  |   |  |                  |
| 5.13                             | Financial reward   | Destroy <b>6 years</b> after action completed.  | - Retention payments<br>- Long service awards  | Common Practice  |
| <b>Termination:</b>              |  |   |  |                  |
| 5.14                             | The process of termination of staff through voluntary redundancy, dismissal and retirement | Destroy <b>6 years</b> after last date of service.<br><br>If a pension is paid then records should be destroyed <b>6 years</b> after last pension payment | - Resignation<br>- Redundancy<br>- Dismissal<br>- Death<br>- Retirement  | Common Practice. |
| <b>Training and Development:</b> |  |   |  |                  |

|      |   |   |  |                 |
|------|---|---|--|-----------------|
| 5.15 | Routine staff training process.                     | Destroy <b>3 years</b> after last day of service.                                     | <ul style="list-style-type: none"> <li>- Course bookings</li> <li>- Individual staff assessment of course attended.</li> <li>- Any training materials</li> </ul> | Common Practice |
| 5.16 | Training (occupational health and safety training). | Destroy <b>50 years</b> after training completed.<br><br>Individual course assessment | <ul style="list-style-type: none"> <li>- E.g. RIDDOR, COSHH</li> </ul>   | Common Practice |

|      |                                |   |  |                 |
|------|--------------------------------|---|--|-----------------|
|      |                                | records should be destroyed once the training has been renewed every <b>3 years</b> . | <ul style="list-style-type: none"> <li>- Drive assessment</li> <li>- Manual handling</li> </ul>  |                 |
| 5.17 | Training – Proof of completion | Place on individual file.<br>Destroy <b>6 years</b> from last date of service.        | <ul style="list-style-type: none"> <li>- Training log</li> <li>- Skills log</li> <li>- Certificates</li> <li>- Awards</li> <li>- Exam results</li> </ul> | Common Practice |

## 6. FINANCIAL MANAGEMENT:

| Ref No.                     | Functional Description  | Retention Action  | Examples of Records   | Notes           |
|-----------------------------|---|---|---|-----------------|
| <b>Accounts and Audits:</b> |   |   |   |                 |
| 6.1                         | The process that consolidates financial transactions on an annual basis for corporate reporting purposes. | <b>Permanent.</b> Transfer to Place of Deposit after administrative use is concluded. | <ul style="list-style-type: none"> <li>- Consolidated annual reports</li> <li>- Consolidated financial statements</li> <li>- Statement of financial position</li> <li>- Operating statements</li> <li>- General ledger</li> </ul> | Common Practice |
| 6.2                         | The process that supports and consolidated financial transactions on a periodic                           | Destroy when administrative use is concluded.   | <ul style="list-style-type: none"> <li>- Consolidated monthly and quarterly reports</li> <li>- Consolidated monthly and</li> </ul>  | Common practice |

|  |  |  |   |           |
|--|--|--|---|-----------|
|  | (less than annual) basis, superseding those from the previous period. Does not include journals and subsidiary ledgers and cash books. |  | quarterly financial statements<br>- Working papers for the preparation of the above<br>- Monthly accrual statements<br>- Cash flow statements<br>- Creditor listings and reports<br>- Debtor listings and reports         |           |
| <b>Financial Transaction Management:</b> |  |  |   |           |
| 6.3                                      | Management of the approvals process for purchase, including investigations.  | Destroy <b>7 years</b> after the end of the financial year in which the records were created.      | - Appointments and Delegations<br>- Audit Investigations<br>- Arrangements for the provision of Goods and/or Services   | Statutory |
| 6.4                                      | Identification of the receipt, expenditure and write offs of public money.   | Destroy <b>6 years</b> after the conclusion of the financial transaction that the record supports. | - Allowances<br>- Work orders<br>- Invoices<br>- Credit Card statements<br>- Cash books<br>- Receipts<br>- Cheque Counterfoils<br>- Bank statements<br>- Subsidiary ledgers (annual)<br>- Journals (annual)<br>- Vouchers | Statutory |

|                              |  |  |  |   |
|------------------------------|--|--|--|---|
| 6.5                          | The process involving the provision and support for individuals using public transportation. | Destroy <b>6 years</b> after the conclusion of the financial transaction that the record supports. | <ul style="list-style-type: none"> <li>- Applications</li> <li>- Card issues</li> <li>- Rail warrants</li> </ul>   | Statutory   |
| 6.6                          | The process that balance and reconcile financial accounts.                                   | Destroy <b>2 years</b> after the administrative use is concluded.                                  | <ul style="list-style-type: none"> <li>- Reconciliation</li> <li>- Summaries of accounts</li> </ul>  | Common practice   |
| 6.7                          | Taxation record (including VAT)  | Destroy <b>6 years</b> after the end of the financial year in which the records were created       | <ul style="list-style-type: none"> <li>- Taxation records</li> <li>- Motor vehicle logs</li> <li>- Fringe benefits tax records</li> <li>- Group certificates</li> </ul>  | Statutory   |
| 6.8                          | The processes involved in the collection of National Insurance Number.                       | Destroy <b>2 years</b> after the employee ceases employment.                                       | <ul style="list-style-type: none"> <li>- Notification and Input record</li> </ul>  | Common practice   |
| <b>Payroll:</b>              |  |  |  |   |
| 6.9(1)                       | Accountable processes relating to payment of employees.                                      | Destroy <b>7 years</b> after the conclusion of the financial transaction that the record supports  | <ul style="list-style-type: none"> <li>- Authority sheets</li> <li>- Payroll deduction authorities</li> <li>- Payroll disbursement</li> <li>- Employee pay records</li> <li>- Employee taxation records</li> </ul> | Statutory   |
| 6.9 (2)                      | Non-accountable processes relating to payment of employees                                   | Destroy after administrative use is concluded  | <ul style="list-style-type: none"> <li>- Summary pay records</li> </ul>  | Common Practice   |
| <b>Financial Provisions:</b> |  |  |  |   |
| 6.10                         | The process of finalising Local Authorities Annual Budget                                    | <b>Permanent.</b> Transfer to Place of Deposit after administrative use is concluded.              | <ul style="list-style-type: none"> <li>- Annual Budget</li> </ul>  | Common practice (Only final version of annual budget needs to be kept). |
| 6.11                         | The process of developing Local Authorities Annual Budget                                    | Destroy <b>2 years</b> after Annual Budget adopted by Local Authority                              | <ul style="list-style-type: none"> <li>- Draft Budgets</li> <li>- Departmental budgets</li> <li>- Draft estimated</li> </ul>   | Common practice   |
| 6.12                         | The process of reporting which examines the budget in  | Destroy after next year's annual budget has been   | <ul style="list-style-type: none"> <li>- Quarterly statements</li> </ul>   | Common practice   |

|                 |   |   |   |                 |
|-----------------|---|---|---|-----------------|
|                 | relation to actual revenue and expenditure  | adopted by Local Authorities  |   |                 |
| 6.13            | The activity of borrowing money to enable Local Authorities to perform its functions and exercise its powers. | Destroy <b>7 years</b> after the loan has been repaid   | - Loan files  | Statutory       |
| 6.14            | Summary management of loans   | <b>Permanent.</b> Transfer to Place of Deposit after administrative use is concluded  | - Loan registers  | Common practice |
| <b>Housing:</b> |   |   |   |                 |
| 6.15            | "Right to Buy"  | Destroy <b>12 years</b> after sale of house   | - Sale documents<br>- Agreements concerning sale                                      | Statutory       |
| 6.16            | Home Improvement Grant (Including Disabled Facility Grants)   | Destroy <b>1 year</b> after the end of the grant condition period or <b>6 years</b> after the last payment whichever comes first.<br><br>Where plans and detailed drawings included, with the permission of the grant applicant, offer to archivist | - Agreement to pay loan<br>- Details of payments<br>- Correspondence relating to loan | Statutory       |
| 6.17            | Records of sites/buildings which may be developed for affordable housing                                      | <b>Permanent</b>  | - Plans and correspondence  | Common practice |
| 6.18            | Homeless Applications Records   | Destroy after <b>3 years</b> from the date of permanent re-housing for accepted applications, <b>3 years</b> from the latest action for other applications  | - Correspondence  | Common practice |
| 6.19            | The banding of domestic properties for the purpose of calculating the tax base and                            | Valuation Lists – Permanent. Destroy <b>7 years</b> after the end of the financial year in which it   | - Valuation lists<br>- Correspondence<br>- Appeals                                    | Common Practice |

|  |  |  |   |                 |
|--|--|--|---|-----------------|
|  | levying Council Tax  | was created.   | - Reports   |                 |
| <b>Non Domestic Rating List:</b>           |  |  |   |                 |
| 6.20                                       | The valuation of non-domestic hereditaments for the purpose of levying non domestic rates  | Destroy <b>7 years</b> after the end of the financial year in which it was created   | - Valuation lists<br>- Correspondence<br>- Appeals<br>- Reports   | Common practice |
| <b>Council Tax and Non Domestic Rates:</b> |  |  |   |                 |
| 6.21                                       | The activity of corresponding with Council Tax payers in relation to the collection, administration and recovery of Council Tax and Non Domestic Rates | Destroy <b>7 years</b> after last action   | - Notices<br>- Correspondence<br>- Appeals<br>- Rate certificates<br>- Change of occupancy<br>- Recovery action   | Common practice |
|  | Recovery of rebates applied incorrectly in respect of Council Tax and Non Domestic Rates   | Destroy <b>6 years</b> after recovery action ceased.                                 |   | Statutory       |
| <b>Benefits:</b>                           |  |  |   |                 |
| 6.22                                       | The administration assessment and payment of housing benefit and Council Tax benefit   | Destroy <b>7 years</b> after the end of the financial year in which it was created   | - Benefit application forms<br>- Change of circumstances<br>- Proof of income/capital<br>- Appeals<br>- Overpayment recovery<br>- Subsidy<br>- Claims and Returns | Common practice |
| <b>Summary Assets Management:</b>          |  |  |   |                 |
| 6.23                                       | The summary management reporting on the overall assets of the Local Authority  | <b>Permanent.</b> Transfer to Place of Deposit after administrative use is concluded | - Schedules of Acquisitions<br>- Consolidated Current Asset Reports<br>- Annual Reports<br>- Summary of Current Assets<br>- Asset registers                       | Common practice |
| <b>Asset Monitoring and Maintenance:</b>   |  |  |   |                 |

|  |   |   |   |                 |
|--|---|---|---|-----------------|
| 6.24                                   | Management systems that allow the monitoring and management of assets in summary form                                 | Destroy <b>7 years</b> after the conclusion of the financial transaction that the record supports   | - Subsidiary asset register   | Common practice |
| 6.25                                   | The process of reporting and reviewing assets status  | Destroy <b>2 years</b> after administrative use is concluded  | - Routine Returns and reports on asset status<br>- Inventories<br>- Stocktaking<br>- Surveys of Usage<br>- Acquisition and disposal reports and proposals   | Common practice |
| 6.26                                   | The process of maintaining assets   | Destroy <b>7 years</b> after last action  | - Garden maintenance<br>- Cleaning<br>- Painting  | Common practice |
| 6.27                                   | The process of maintaining plant and equipment  | Destroy <b>7 years</b> after sale or disposal of asset  | - Service records<br>- Plant files  | Common practice |
| <b>Asset Acquisition and Disposal:</b> |   |   |   |                 |
| 6.28                                   | Management of the acquisition (by financial lease or purchase) and disposal (by sale or write off) process for assets | <u>Assets over £50,000</u> Destroy <b>12 years</b> after all obligations / entitlements are concluded<br><u>Assets Under £50,000.</u> Destroy <b>6 years</b> after all obligations / entitlements are concluded | - Legal documents relating to the purchase/sale<br>- Particulars of sale documents<br>- Board of survey<br>- Leases<br>- Application for leases. Licences and rental revision<br>- Tender documents<br>- Conditions on contract<br>- Certificates of approval | Statutory       |



## 7. PROPERTY AND LAND MANAGEMENT:

| Ref No.                                     | Functional Description  | Retention Action  | Examples of Records   | Notes           |
|---|---|---|---|-----------------|
| <b>Property and Land Management:</b>        |   |   |   |                 |
| 7.1   | Reports to management on overall property of the Local Authority                      | <b>Permanent.</b> Transfer to Place of Deposit after administrative use is concluded  | <ul style="list-style-type: none"> <li>- Consolidated property and buildings annual reports</li> <li>- Summary of Local Authorities owned property</li> <li>- Site Register</li> <li>- Register of leases</li> </ul>  | Common Practice |
| <b>Property Acquisition and Disposal:</b>   |   |   |   |                 |
| 7.2   | Management of acquisition (by financial lease for purchase) process for real property | <u>Assets Over £50,000.</u> Destroy <b>12 years</b> after all obligations / entitlements concluded.<br><u>Assets Under £50,000.</u> Destroy <b>6 years</b> after all obligations / entitlements concluded |   | Common practice |
| 7.3   | Management of the disposal (by sale or write off) process for real property           | <u>Assets Over £50,000.</u> Destroy <b>12 years</b> after all obligations / entitlements concluded.<br><u>Assets Under £50,000.</u> Destroy <b>6 years</b> after all obligations / entitlements concluded | <ul style="list-style-type: none"> <li>- Legal documents relating to the sale</li> <li>- Particulars of the sale document</li> <li>- Board of survey</li> <li>- Tender/open market Documents and correspondence</li> <li>- Conditions of contract</li> <li>-</li> </ul> | Common practice |
| <b>Property Development and Renovation:</b> |   |   |   |                 |
| 7.4   | Management  | <b>Permanent.</b> Transfer to Place   | - Project specifications  | Common practice |

|                               |   |   |  |   |
|-------------------------------|---|---|--|---|
|                               | <ul style="list-style-type: none"> <li>Buildings and estates of "special interest"</li> </ul>       | of deposit after administrative use is concluded  | <ul style="list-style-type: none"> <li>Working and as built Plans</li> <li>Installation/maintenance Manuals</li> <li>Certificates of Approval</li> <li>Wayleaves, unregistered rights of way and easements</li> <li>Completion and acceptance documentation</li> </ul>                                 |   |
| 7.5                           | <p>Management</p> <ul style="list-style-type: none"> <li>All other buildings and estates</li> </ul> | Retain for life of property or building   | <ul style="list-style-type: none"> <li>Project specifications</li> <li>Working and as built Plans</li> <li>Installation/maintenance Manuals</li> <li>Certificates of Approval</li> <li>Wayleaves, unregistered rights of way and easements</li> <li>Completion and acceptance documentation</li> </ul> | Common place<br><i>For asbestos see 'Health and Safety' under general public services</i> |
| 7.6                           | The action process involved in the development and renovation of property                           | Destroy <b>7 years</b> after the conclusion of the transaction that the record supports | <ul style="list-style-type: none"> <li>Work orders</li> <li>Tender documents</li> <li>Conditions of contracts</li> </ul>   | Common practice   |
| <b>Leasing and Occupancy:</b> |   |   |  |   |
| 7.7                           | The process of managing leased property   | Destroy <b>15 years</b> after the expiry of the lease                                   | <ul style="list-style-type: none"> <li>Lease/licence agreements</li> <li>Rental expenditure authorities</li> <li>Valuation queries</li> <li>Approvals/refusal of consents requested by tenant under terms of the lease/agreement</li> <li>Records of rent review agreements</li> </ul>                 | Common practice   |

|                              |  |   |  |                 |
|------------------------------|--|---|--|-----------------|
|                              |  |   | - Any actions or court proceedings for rent arrears. Dilapidations or similar breaches of covenant |                 |
| 7.8                          | The process of managing the occupancy of property  | Destroy <b>7 years</b> after the conclusion of the transaction that the record supports | - Requests for works, cleaning etc.  | Common practice |
| <b>Housing Provision:</b>    |  |   |  |                 |
| 7.9                          | The process of managing Local Authority welfare housing estates  | Destroy <b>4 years</b> after last action  | - Stock monitoring records   | Common practice |
| <b>Systems Management:</b>   |  |   |  |                 |
| 7.10                         | The internal process to develop or extend the capabilities of a system used to support then activities of the Local Authority  | Retain for life of system then destroy  |  | Common Practice |
| 7.11                         | The process to implement a system used to support the activities of the local authority  | Destroy <b>7 years</b> after last action  | - Implementation Plan  | Common Practice |
| 7.12                         | The process to support and administer a system used to support the activities of the Local Authority.<br><i>Note: Ensure back up disposal is tied in with back-ups</i> | Destroy <b>5 years</b> after last action  |  | Common Practice |
| <b>Transport Management:</b> |  |   |  |                 |
| 7.13                         | The process of acquisition and disposal of vehicles through lease or purchase  | Destroy <b>7 years</b> after the disposal of the vehicle                                | - Leases<br>- Contracts<br>- Quotes<br>- Approvals<br>- Fleet Authorisation for vehicles           | Common practice |

|                           |  |   |  |                 |
|---------------------------|--|---|--|-----------------|
|                           |  |   | - Maintenance  |                 |
| 7.14                      | The process of managing allocations and maintenance of vehicles  | Destroy <b>3 years</b> after the sale of disposal of the vehicle  | - Approvals as drivers<br>- Allocations and Authorisation for vehicles<br>- Maintenance<br>- Vehicle Usage Reports | Common practice |
| 7.15                      | The process of recording vehicle usage   | Destroy <b>1 year</b> after the sale of disposal of the vehicle   | - Vehicle usage reports  | Common Practice |
| 7.16                      | The process of recording driver's usage  | Destroy <b>1 year</b> after closure   | - Vehicle log book   | Common Practice |
| 7.17                      | The process of recording school transport operation  | Destroy <b>1 year</b> after cessation of contract   | - MOT<br>- Insurance<br>- Public Liability Insurance   | Common Practice |
| <b>Insurance:</b>         |  |   |  |                 |
| 7.18                      | The summary management of insurance arrangements   | <b>Permanent.</b> Transfer to Place of Deposit after administrative use is concluded  | - Insurance registration   | Common Practice |
| 7.19                      | The process of insuring Local Authority offices, property, vehicles and equipment against negligence, loss or damage | Destroy <b>7 years</b> after the terms of the policy have expired   | - Insurance policies<br>- Correspondence   | Common Practice |
| 7.20                      | The process of renewing insurance policies   | Destroy <b>5 years</b> after the insurance policy has been renewed  | - Insurance policy renewal records<br>- Correspondence   | Common Practice |
| <b>Claims Management:</b> |  |   |  |                 |
| 7.21                      | The process that records insurance claims against the Local Authority or Local Authorities offices                   | Destroy <b>7 years</b> after all obligation / entitlements are concluded (allowing for the claimant to reach 25 years of age) | - Claims records<br>- Correspondence   | Common Practice |

**8. GENERAL PUBLIC SERVICES:**

| Ref No.                             | Functional Description  | Retention Action  | Examples of Records               | Notes     |
|-------------------------------------|---|---|-----------------------------------|-----------|
| <b>Inspections and Assessments:</b> |   |   |                                   |           |
| 8.1 (1)                             | The process of inspecting equipment to ensure it is safe                          | Destroy <b>6 years</b> from destruction of the equipment                        | - Equipment inspection records    | Statutory |
| 8.1 (2)                             | Documentation regarding inspections made on establishment concerning food hygiene | Destroy <b>7 years</b> after inspection   | - Food standards inspection forms |           |
| 8.2                                 | Processing the geo-technical assessment of a quarry                               | When quarry is no longer in use consult or refer to Health and Safety Executive |                                   | Statutory |

|   |   |  |  |   |
|---|---|--|--|---|
| 8.3   | The process of carrying out monitoring to ensure it is safe   | Destroy <b>3 years</b> from last action  | - Monitoring results   | Statutory   |
| 8.4   | The process of monitoring of areas where employees and persons are likely to have become in contact with asbestos   | Destroy <b>50 years</b> from last action or at age 75 years whichever is greater     | - Property asbestos files<br>- Asbestos register   | Common practice based on statutory  |
| 8.5   | The process of monitoring of areas where employees and persons are likely to have become in contact with radiation  | Destroy <b>40 years</b> from last action   | - Radiation monitoring   | Common Practice   |
| 8.6   | The process to ensure safe systems of work  | Destroy <b>1 year</b> after the process ceases or is superseded                      | - System processes   | Common practice   |
| 8.7   | The process to assess the level of risk   | Destroy <b>3 years</b> from last assessment  | - Risk assessment  | Statutory   |
| 8.8   | The processes that permit work  | Destroy <b>1 year</b> from last action   |  | Common practice   |
| 8.9   | The process that records injuries to adults   | Destroy <b>3 years</b> from closure  | - Accident books   | Statutory   |
| <b>Enforcement Certification and Prosecution:</b> |   |  |  |   |
| 8.10  | The summary management systems that allow the monitoring and management of registration, certification and licenses registration requirements in summary form | <b>Permanent.</b> Transfer to Place of Deposit after administrative use is concluded | - Visual Impairment register   | Common practice   |
| 8.11  | The administration of applications, registration, certification and licences in relation to Local Authorities registration requirements                       | Destroy <b>2 years</b> after registration on entitlement lapses                      | - Applications for animal registration<br>- Applications for registration of a business premises<br>- Application for release of | Statutory<br><i>Note: May want archival review in cases of licensing of children in entertainment</i> |

|  |  |   |   |                 |
|--|--|---|---|-----------------|
|  |  |   | <ul style="list-style-type: none"> <li>animals impounded</li> <li>- Registers</li> <li>- Certificates of registration</li> <li>- Animal movement licences</li> <li>- Gaming</li> <li>- Fire certification</li> <li>- Disabled parking permits</li> <li>- Registration to sell poison</li> </ul> |                 |
| 8.12   | The process involved in licensing sites for the holding or use of toxic or hazardous substances. (including petroleum, agricultural chemical products or herbicides) | <b>Permanent.</b> Offer to archivist            | <ul style="list-style-type: none"> <li>- Diesel licences</li> <li>- Petroleum licenses</li> <li>- Health and Safety licenses</li> <li>- Hazardous substances</li> <li>- Contaminated land/pollution registers</li> </ul>  | Common practice |
| <b>Notification:</b>                             |  |   |   |                 |
| 8.13   | The process of issuing notices to citizens with respect to particular responsibility   | Destroy <b>2 years</b> after notice has expired | <ul style="list-style-type: none"> <li>- Fire prevention notices</li> <li>- Fire prevention infringement notices</li> <li>- Objections to notices</li> <li>- Appeals against notices</li> <li>- Registration of premises infringement notices</li> <li>- Animal impounding Notices</li> </ul>   | Common practice |
| <b>Investigation, Inspection and Monitoring:</b> |  |   |   |                 |
| 8.14   | The process of investigation, monitoring or inspection laws in the responsibility of Local Authority   | Destroy <b>7 years</b> from last action         |   | Common Practice |
| <b>Prosecution:</b>                              |  |   |   |                 |
| 8.15   | The process of prosecuting or sanction of an individual or organisation for failing to   | Destroy <b>7 years</b> after last action        | - Prosecution/sanction files  | Common practice |

|                                   |   |  |   |                 |
|-----------------------------------|---|--|---|-----------------|
|                                   | comply with their legal responsibilities  |  |   |                 |
| <b>By-Laws:</b>                   |   |  |   |                 |
| 8.16                              | The process of making local laws  | <b>Permanent.</b> Transfer to Place of Deposit after administrative use is concluded   | <ul style="list-style-type: none"> <li>- Master set of by-laws</li> <li>- Policy development documents</li> <li>- Correspondence</li> <li>- Submissions</li> </ul>                          | Common practice |
| 8.17                              | The process of administering and enforcing by-laws  | Destroy <b>2 years</b> after certificate has expired, penalty payment has been made, the matter has been finished or correspondence on the matter has ceased | <ul style="list-style-type: none"> <li>- Application and certificates</li> <li>- Permits</li> <li>- Licenses</li> <li>- Infringement Notices (parking)</li> <li>- Correspondence</li> </ul> | Common practice |
| <b>Cemeteries and Crematoria:</b> |   |  |   |                 |
| 8.18                              | Summary management systems that record the location and occupancy of deceased individuals | <b>Permanent.</b> Transfer to Place of Deposit after administrative use is concluded   | <ul style="list-style-type: none"> <li>- Internment Register</li> <li>- Lair register</li> <li>- Lair plans</li> </ul>  | Common Practice |
| 8.19                              | The process of regulation of burials and cremations                                       | Destroy <b>5 years</b> after last action   | <ul style="list-style-type: none"> <li>- Permits</li> <li>- Applications</li> <li>- Orders</li> </ul>   | Common practice |
| <b>Waste Management:</b>          |   |  |   |                 |
| 8.20                              | The process of arranging the collection or transportation of household waste              | Destroy <b>2 years</b> after last action   |   | Common practice |
| 8.21                              | The process of arranging the collection or transportation of controlled waste             | Destroy <b>6 years</b> after last action   |   | Common practice |



## 9. PLANNING AND LAND USE:

| Ref No.                    | Functional Description  | Retention Action   | Examples of Records   | Notes           |
|----------------------------|---|--|---|-----------------|
| <b>Development Control</b> |   |  |   |                 |
| 9.1                        | Applications made under the Town and Country Planning Act 1990 (as amended), the Planning (Listed Buildings and Conservation Areas) Act 1990, the Hazardous Substances Act 1990 and Section 17 of the Land Compensation Act 1961. | <b>Permanent.</b><br>Statutory requirement to retain records and a register.                                       | <ul style="list-style-type: none"> <li>- Planning and other types of application files</li> <li>- Appeal files in relation to all these applications</li> <li>- Public comments on applications and appeals</li> <li>- Planning registers, History cards, Estates index and plotting sheets.</li> </ul> | Common Practice |
| 9.2                        | Enforcement of the legislation specified in 9.1 above where any formal enforcement action is authorised   | <b>Permanent.</b><br>Statutory requirement to retain records and a register.                                       | <ul style="list-style-type: none"> <li>- Enforcement file relating to that development</li> </ul>   | Common practice |
| 9.3                        | Complaints about unauthorised development where complaint file is closed with no action required  | Retain for <b>2 years</b> after closure of file to ensure issue does not repeat or resurface. Then destroy record. | <ul style="list-style-type: none"> <li>- Complaint files</li> </ul>   | Common practice |
| 9.4                        | Monitoring of minerals and waste sites  | <b>Permanent.</b><br>Essential to monitor how sites develop and comply with legislation                            | <ul style="list-style-type: none"> <li>- Minerals monitoring files held in electronic and paper form for each quarry or waste site</li> </ul>   | Common practice |

|      |  |  |   |                 |
|------|--|--|---|-----------------|
| 9.5  | Preliminary Enquiries in relation to proposed developments   | Destroy after <b>7 years</b> . This gives sufficient time for development to come forward as an application  | - Preliminary application file  | Common practice |
| 9.6  | Correspondence Files   | Destroy after <b>4 years</b> . Sufficient time to ensure correspondence is concluded   | - All records held electronically in a folder (parish files) on the intranet.   | Common practice |
| 9.7  | George Phillips Award  | Retain for <b>2 years</b> . Archive past years as a cultural record.   | - All records held electronically in a folder (George Phillips Award) on the intranet.  | Common practice |
| 9.8  | Tree Preservation Orders   | <b>Permanent</b> . Statutory requirement.  | - Tree Preservation Orders register and supporting file.  | Common practice |
| 9.9  | Liaison Committees with quarry operators and the local community   | <b>Permanent</b> . Retain as a public record   | - All records held electronically in a folder on the intranet.  | Common practice |
| 9.10 | Recording information on historical buildings, conservation areas and other heritage features and biodiversity data. | <b>Permanent</b> . Records require access by all departments at Rutland when they are undertaking work that could affect the natural or historic environments. Government policy requires this access. | - Historic Environment Record<br>- Ecological records<br>- Species records<br>- Records are principally held by Leicestershire County Council as a joint record with Rutland. However Rutland retains an historical photographic record of listed buildings | Common practice |
| 9.11 | Applications under part 8 of the Anti-social Behaviour Act 2003 (High Hedges)  | <b>Permanent</b> Statutory requirement to retain records and a register.   | - High hedge application files  | Common practice |
| 9.12 | Applications under section 97  | <b>Permanent</b>   | - Hedgerow application files  | Common practice |

|      |  |   |   |                 |
|------|--|---|---|-----------------|
|      | of the Environment Act 1995 concerning hedgerows   | Statutory requirement to retain records and a register.   |   |                 |
| 9.13 | Land Charges   | <b>Permanent.</b><br>Statutory requirement.   | - All information (searches and additional correspondence with solicitors) currently scanned to either Apollo server through swift search or to the O drive   | Common Practice |
| 9.14 | Village Green applications   | <b>Permanent.</b><br>Statutory requirement.   | - Scanned to O drive and original stored in the contracts safe.   | Common Practice |
| 9.15 | Land Charges Registrations   | <b>Permanent.</b><br>Statutory requirement.   | - Stored on map info tables and paper register within filing cabinets   | Common Practice |
| 9.16 | Preparation, consultation and adoption (where applicable) of: <ul style="list-style-type: none"> <li>• statutory development plan documents</li> <li>• supplementary planning documents;</li> <li>• Statement of Community Involvement, Local Development Scheme;</li> <li>• Community Infrastructure Levy Charging Schedule;</li> <li>• neighbourhood plans prepared by town and parish councils;</li> <li>• Studies and evidence base documents to support the preparation of the local plan and associated</li> </ul> | Retain the final document <b>permanently.</b><br><br>Retain associated records for a maximum of <b>4 years</b> following the final adoption/making of the document.<br><br>For studies and evidence base documents retain for <b>4 years</b> following the final adoption /making of the document to which it relates.<br><i>Note - background papers to Council and Committee reports will need to be retained for 4 years after the date of the meeting under</i> | - Draft documents<br>- Consultation documents and emails<br>- Consultation responses and correspondence<br>- Draft cabinet, council and scrutiny reports<br>- Information and correspondence connected with public/independent examination of the document (where applicable)<br>- Response databases and the data they contain | Statutory       |

|      |   |  |   |  |
|------|---|--|---|--|
|      | documents.  | <i>RCC Constitution Procedure Rule 237)</i>  |   |  |
| 9.17 | RCC responses to consultations other by government, other local authorities and organisations.  | Retain records until <b>4 years</b> after completion of the document and/or policy to which the response relates. <i>(note - background papers to Council and Committee reports will need to be retained for <b>4 years</b> after the date of the meeting under RCC Constitution Procedure Rule 237)</i> | <ul style="list-style-type: none"> <li>- Draft documents</li> <li>- Consultation documents and emails</li> <li>- Consultation responses</li> <li>- Draft cabinet, council and scrutiny reports</li> </ul>   | Common Practice  |
| 9.18 | Mailing lists and databases of names and addresses set up for consultation on local planning documents.                                     | Retain until mailing list is replaced or updated or until a person or organisation has requested to be removed from the list.  | <ul style="list-style-type: none"> <li>- Outlook email distribution lists</li> <li>- Databases of names and addresses</li> </ul>  | Periodic reviews of mailing lists to be carried out as part of the Statement of Community Involvement. |
| 9.19 | The process of negotiating, monitoring and enforcing compliance with legal agreements securing planning obligations (e.g. S106 Agreements). | Retain records until <b>4 years</b> after Section 106 obligations have been fully met.   | <ul style="list-style-type: none"> <li>- All correspondence related to planning applications with affordable housing and/or community infrastructure requirements to be secured through legal agreements, drafting of agreements and any related legal documentation such as Deed of Discharge or Variation.</li> <li>- All correspondence relating to independent arbitration on viability of development</li> </ul> | Common Practice  |

|      |   |   |  |                 |
|------|---|---|--|-----------------|
|      |   |   | <ul style="list-style-type: none"> <li>- All correspondence and notices relating to monitoring and enforcement of legal agreements.</li> </ul>   |                 |
| 9.20 | Signed Planning Obligation Agreements   | <b>Permanent</b> unless formally authorised for removal from the planning register. Transfer to single Place of Deposit (or Archives?) <b>5 years</b> after obligations met | <ul style="list-style-type: none"> <li>- Signed Section 106 Agreements or Unilateral undertakings</li> <li>- New S106 Agreements relating to approved minor amendments</li> </ul>  | Common Practice |
| 9.21 | Implementation of the Community Infrastructure Levy                                 | Retain CIL administrative records for a maximum period of <b>5 years</b> following the final CIL related payment  | <ul style="list-style-type: none"> <li>- All formal Notices;</li> <li>- Applications for relief and exemptions</li> <li>- Decisions on Chargeable Amount</li> <li>- Appeal processes</li> <li>- Surcharging processes</li> </ul>   | Common Practice |
| 9.22 | Pre-application enquiries regarding planning obligations or potential CIL liability | Retain advice given and related correspondence for a maximum of <b>5 years</b> or until <b>4 years</b> after formal application determined for the same site                | <ul style="list-style-type: none"> <li>- All correspondence relating to informal and formal pre-app advice</li> </ul>  | Common Practice |
| 9.23 | CIL and S106 reporting  | Retain all supporting evidence for a maximum of <b>4 years</b> following the date of publication of the annual report on the Council's website.                             | <ul style="list-style-type: none"> <li>- All CIL reporting in accordance with regulatory requirements</li> <li>- Management and monitoring of CIL administration account</li> <li>- Annual Report on CIL receipts, spend and retained funds</li> <li>- Monitoring of spend by local councils within</li> </ul> | Common Practice |

|      |  |  |   |                 |
|------|--|--|---|-----------------|
|      |  |  | <p>prescribed time frames</p> <ul style="list-style-type: none"> <li>- Monitoring required to steer work of Quarterly Monitoring Group, spend by spend by dates, governance decisions etc.</li> </ul> |                 |
| 9.24 | <p>Preparation, consultation and adoption (where applicable) of:</p> <ul style="list-style-type: none"> <li>• Strategic housing policies and plans.</li> <li>• Studies and evidence base documents to support strategic housing policies and plans.</li> </ul> | <p>Retain policies and evidence base studies for a maximum of <b>4 years</b> after replacement. Retain internal and external statistical returns for a maximum of 7 years. Retain associated records for a maximum of <b>4 years</b> following the final adoption/making of the document or publication of the study/evidence base document on the Council's website.</p>  | <ul style="list-style-type: none"> <li>- Policy and evidence base documents, drafts and supporting information</li> <li>- Minutes and Agendas of meetings and correspondence</li> </ul>               | Common Practice |
| 9.25 | <p>Proposals, implementation and monitoring of affordable housing development and energy initiatives.</p>  | <p>Maximum of <b>4 years</b> or - if process still on-going - until a maximum of <b>4 years</b> after the end of the development process. Where Council funds scheme or long term promises made re scheme use that need monitoring (e.g. local people prioritised or future sales regulated by Council), essential records retained indefinitely. Retain working group papers and minutes for a maximum of <b>4 years</b>.</p> | <ul style="list-style-type: none"> <li>- Evidence of need</li> <li>- Plans</li> <li>- Correspondence</li> <li>- Records of sales</li> </ul>   | Common Practice |

|      |   |   |   |                 |
|------|---|---|---|-----------------|
| 9.26 | Proposals and data relating to housing stock transfer | Information required to ensure the monitoring of the stock transfer to be retained indefinitely.<br>Associated records that are not needed for this purpose to be retained for a maximum of <b>4 years.</b> | <ul style="list-style-type: none"> <li>- Contracts</li> <li>- Records regarding potential environmental risks, land transferred, contractual obligations and evidence for contract content.</li> <li>- Studies on stock condition etc. and related information.</li> <li>- Records relating to tenancies transferred.</li> <li>- Information on commitments made.</li> <li>- Minutes and Agendas of meetings and correspondence.</li> </ul> | Common Practice |
|------|---|---|---|-----------------|

## 10. INFRASTRUCTURE AND TRANSPORT:

| Ref No.                    | Functional Description   | Retention Action                           | Examples of Records | Notes           |
|----------------------------|--|--|---------------------|-----------------|
| <b>Traffic Management:</b> |  |  |                     |                 |
| 10.1                       | The activity of planning and programming the continued flow, diversion or reduction of traffic | Destroy <b>1 year</b> after date of order. | - Traffic orders    | Common Practice |

| <b>Design and Construction:</b>                   |  |  |   |                 |
|---|--|--|---|-----------------|
| 10.2  | The activity of planning, designing, programming and constructing roads, street, bridges and tunnels       | <b>Permanent.</b> Transfer to Place of Deposit after administrative use is concluded |   | Common practice |
| <b>Infrastructure Management and Maintenance:</b> |  |  |   |                 |
| 10.3  | The activity of providing municipal services in relation to infrastructure within the local authority      | Destroy <b>7 years</b> after last action   | <ul style="list-style-type: none"> <li>- Street files</li> <li>- Street records</li> </ul> <u>Requests for:</u> <ul style="list-style-type: none"> <li>- Hedge clipping</li> <li>- Tree planting</li> <li>- Naming of streets</li> <li>- Numbering of houses</li> <li>- Street load limits</li> <li>- Street signs</li> <li>- Bus shelters</li> <li>- Applications to dig footpaths</li> <li>- HGV application</li> <li>- Advice/Comment</li> <li>- Legal crossings</li> <li>- Right of ways</li> <li>- Roundabouts</li> <li>- Traffic humps</li> </ul> | Common practice |
| <b>Road Maintenance:</b>                          |  |  |   |                 |
| 10.4  | The activity of maintaining and repairing roads, street, bridged, bridle paths, rights of ways and tunnels | Destroy <b>12 years</b> after action completed                                       |   | Common practice |



## 11. ADULT SOCIAL CARE:

| Ref No.                   | Functional Description  | Retention Action                                     | Examples of Records   | Notes           |
|---------------------------|-------------------------|--|---|-----------------|
| <b>Adult Social Care:</b> |                         |  |   |                 |
| 11.1                      | Asylum Seekers Services | Destroy <b>6 years</b> after action completed        | <ul style="list-style-type: none"> <li>- Information on temporary accommodation</li> <li>- Meals and other advice for asylum seekers</li> <li>- Pre-checks for applications for British citizenship.</li> </ul> | Common Practice |
| 11.2                      | Residential Homes       | <b>Permanent.</b> Transfer to Place of Deposit after | <ul style="list-style-type: none"> <li>- Adult Home Registers</li> </ul>  | Common Practice |

|      |                   |   |   |                 |
|------|-------------------|---|---|-----------------|
|      |                   | administrative use is concluded                         |   |                 |
| 11.3 | Residential Homes | Destroy <b>6 years</b> after action completed           | <ul style="list-style-type: none"> <li>- Admission/discharge registers</li> <li>- Adult placement enquiries; Adult placement provision</li> </ul>                                     | Statutory       |
| 11.4 | Supporting Adults | Destroy <b>10 years</b> after action completed          | <ul style="list-style-type: none"> <li>- All records relating to the integrated health and social care for clients .e.g Mental health files</li> <li>- Day service records</li> </ul> | Common Practice |
| 11.5 | Supporting Adults | Destroy at least <b>3 years</b> from date of last entry | <ul style="list-style-type: none"> <li>- Residential home records / satellite records / finance records / benefit support files</li> </ul>  | Statutory       |
| 11.6 | Supporting Adults | Destroy <b>10 years</b> after action completed          | <ul style="list-style-type: none"> <li>- Prevention &amp; Safeguarding; Hospital and Reablement &amp; Long Term and Review records.</li> </ul>  | Statutory       |
| 11.7 | Supporting Adults | Destroy 7 years after action completed.                 | <ul style="list-style-type: none"> <li>- Financial assessments for care frees, including all correspondence</li> </ul>  | Common Practice |

## 12. CHILDRENS' SOCIAL CARE:

| Ref No.                                | Functional Description | Retention Action  | Examples of Records  | Notes           |
|--|------------------------|---|--|-----------------|
| <b>Children and Families Services:</b> |                        |   |  |                 |
| 12.1                                   | Adoption and Fostering | Destroy at least <b>100 years</b> from the date of adoption order                   | - Adoption files   | Statutory       |
| 12.2                                   | Adoption and Fostering | Destroy <b>6 years</b> after action completed                                       | - Prospective adopters either approved or unapproved at panel stage not yet placed with a child                        | Statutory       |
| 12.3                                   | Adoption and Fostering | Destroy <b>75 years</b> from last contact   | - Prospective foster carers who are either approved or unapproved at panel stage not yet placed with a child           | Statutory       |
| 12.4                                   | Adoption and Fostering | Destroy at least <b>10 years</b> from the date on which the placement is terminated | - Persons who have formally applied to be assessed as prospective adopters / foster carers but not reached panel stage | Common practice |
| 12.5                                   | Adoption and Fostering | Destroy at least <b>10 years</b> from the date on which the                         | - Foster parent files  | Statutory       |

|       |                                      |   |   |                 |
|-------|--------------------------------------|---|---|-----------------|
|       |                                      | placement is terminated   |   |                 |
| 12.6  | Adoption and Fostering               | Destroy <b>10 years</b> after action completed                    | - Supported lodging files   | Common Practice |
| 12.7  | Adoption and Fostering               | Destroy at least <b>100 years</b> from the date of adoption order | - Looked after children client files on the adopted person / residential care children's file on the adopted person                         | Statutory       |
| 12.8  | Adoption and Fostering               | Destroy <b>1 year</b> from last contact                           | - Correspondence of enquiries from potential adopters / foster carers   | Common Practice |
| 12.9  | Programme Management and Development | Destroy <b>7 years</b> from closure                               | - Process involving individual case management advice; attendance records; project files  | Common Practice |
| 12.10 | Programme Management and Development | Destroy <b>6 years</b> from year records created                  | - Free school meals   | Common Practice |
| 12.11 | Programme Management and Development | Destroy <b>6 years</b> after action completed                     | - Process involved in assessing a family's suitability in the care of children – Parenting skills; Family aide work; Intensive support team | Common Practice |
| 12.12 | Programme Management and Development | Destroy <b>23 years</b> from date of birth                        | - Exclusion files   | Statutory       |
| 12.13 | Programme Management and Development | Destroy <b>2 years</b> from end of the appeal process             | - Appeal files  | Statutory       |
| 12.14 | Programme Management & Development   | Destroy <b>15 years</b> from closure                              | - Provision of services or programmes to support the development of young persons – correspondence  | Common Practice |
| 12.15 | Programme Management and Development | Destroy <b>25 years</b> from closure                              | - Provision of services or programmes to support the development of   | Common Practice |

|       |                     |  |   |                 |
|-------|---------------------|--|---|-----------------|
|       |                     |  | children – course Reports;<br>attendance records  |                 |
| 12.16 | Residential Homes   | <b>Permanent.</b> Transfer to Place of Deposit after administrative use is concluded   | - Children's Home Register  | Common Practice |
| 12.17 | Residential Homes   | Destroy <b>15 years</b> from the date of last entry, except for records of menus, which needs to be kept for <b>1 year</b> . | - Admission registers;<br>Discharge registers;<br>Diaries; Rotas; Daily logs;<br>Record of pocket money and valuables; medical / health care; visitors; fire precaution and practice;<br>Register of adults working in the home; Menu | Statutory       |
| 12.18 | Residential Homes   | Destroy <b>15 years</b> from the date of last entry  | - Inspection Reports relating to the operation of the establishment<br>- Record of authorised / unauthorised absences<br>- Sanctions  | Statutory       |
| 12.19 | Residential Homes   | Destroy <b>15 years</b> from the date of last entry  | - Secure unit records   | Common Practice |
| 12.20 | Special Education   | Destroy <b>35 years</b> from date of birth   | - SEN Files; City Youth Justice Team Records  | Common Practice |
| 12.21 | Supporting Children | Destroy <b>75 years</b> from the date of birth or, if the child dies before the age of 18, 15 years from date of death       | - Young person's being looked after files / looked after children client files / residential care children's files  | Common Practice |
| 12.22 | Supporting Children | Destroy <b>2 years</b> from last contact   | - Privately fostered children's file  | Statutory       |
| 12.23 | Supporting Children | Destroy <b>10 years</b> from the date on which the placement is terminated   | - Guardian CAFCASS files / Guardian ad item   | Common Practice |

|       |                     |  |   |                 |
|-------|---------------------|--|---|-----------------|
| 12.24 | Supporting Children | <b>Permanent.</b> Transfer to Place of Deposit after administrative use is concluded | - Schedule 1 Offenders  | Statutory       |
| 12.25 | Supporting Children | <b>Permanent.</b> Transfer to Place of Deposit after administrative use is concluded | - Child Protection Register   | Statutory       |
| 12.26 | Supporting Children | Destroy <b>40 years</b> from date of birth   | - Child protection case files, Conference minutes; core assessment; Investigation; Registration; Supervision order                      | Statutory       |
| 12.27 | Supporting Children | Destroy <b>10 years</b> from closure   | - Initial Assessment and Advice in regards child protection   | Statutory       |
| 12.28 | Supporting Children | Destroy <b>10 years</b> from closure   | - Case records of unaccompanied minors if not looked after  | Common Practice |
| 12.29 | Supporting Children | <b>Permanent.</b> Transfer to Place of Deposit after administrative use is concluded | - Video recordings and tape evidence of child witness   | Common Practice |
| 12.30 | Supporting Children | Destroy <b>10 years</b> from last contact  | - Registration files of childminders or day care providers<br>-   | Common Practice |
| 12.31 | Supporting Children | Destroy <b>1 year</b> from year record created                                       | - Records on childminders   | Common Practice |
| 12.32 | Supporting Children | Destroy <b>35 years</b> from last contact  | - Record on childminders (where children have stayed overnight);<br>Records on sessional carers (Where children have stayed overnight); | Statutory       |

|       |                         |  |  |                 |
|-------|-------------------------|--|--|-----------------|
|       |                         |  | Investigation of allegations/incidents (where children have stayed overnight)  |                 |
| 12.33 | Supporting Children     | Destroy <b>10 years</b> from last contact  | - Records on sessional carers  | Statutory       |
| 12.34 | Supporting Children     | Destroy <b>10 years</b> from date of the allegation  | - Investigation of allegations / incidents   | Common Practice |
| 12.35 | Supporting Children     | Destroy <b>2 years</b> from date response provided   | - Ofsted checks  | Common Practice |
| 12.36 | Supporting Children     | Destroy <b>7 years</b> from date response provided   | - Other fostering agency checks  | Common Practice |
| 12.37 | Youth Service Provision | Destroy <b>10 years</b> from closure   | - Children in need (who have not been adopted or looked after and who have not been the subject of a child protection inquiry) | Common Practice |
| 12.38 | Youth Service Provision | Destroy <b>3 years</b> from closure or child reaches 18 <sup>th</sup> birthday whichever occurs first                        | - Files relating to work with adults; Pre-court decision; Reprimand; Final warnings; Referral                                  | Common Practice |
| 12.39 | Youth Service Provision | Subject to the length of time on register  | - Sex offenders Register   | Common Practice |
| 12.40 | Youth Service Provision | Destroy <b>5 years</b> from closure of child reaches 18 <sup>th</sup> birthday whichever occurs first                        | - Offender case files (court orders)   | Common Practice |
| 12.41 | Youth Service Provision | Destroy <b>75 years</b> from the date of birth or <b>15 years</b> from date of death, if the child dies before the age of 18 | - Case files for young people who have had a custodial sentence  | Common Practice |
| 12.42 | Youth Service Provision | Destroy <b>5 years</b> from closure  | - Statutory Orders   | Common Practice |

**13. ECONOMIC DEVELOPMENT AND TOURISM:**

| Ref No.                     | Functional Description   | Retention Action                    | Examples of Records                         | Notes           |
|-----------------------------|--------------------------|-------------------------------------|---|-----------------|
| <b>Economic Development</b> |                          |                                     |   |                 |
| 13.1                        | Business Communication   | Destroy <b>1 year</b> from closure  | - Business e-newsletter<br>sign up Database | Common Practice |
| 13.2                        | LSP Infrastructure Group | Destroy data on <b>cessation</b> of | - Business member contact                   | Common Practice |



|      |  |  |  |                 |
|------|--|--|--|-----------------|
|      | Member List                                  | individual membership and destroy final database <b>1 year</b> from cessation of Membership Scheme                                     | details  |                 |
| 13.2 | Discover Rutland Communication               | Destroy <b>1 year</b> from Discover Rutland service closure  | - Database of e-sign-ups for newsletter and automated sign-up process via website and email through third party contract | Common Practice |
| 13.3 | Discover Rutland Membership Scheme           | Destroy data on <b>cessation</b> of individual membership and destroy final database <b>1 year</b> from cessation of Membership Scheme | - Current members and historic members   | Common Practice |
| 13.4 | Digital Rutland Broadband Roll out Programme | Destroy <b>1 year</b> from effective end date of contract  | - E-newsletter sign up database  | Common Practice |
| 13.5 | Digital Rutland Broadband Roll out Programme | Destroy <b>1 year</b> from effective end date of contract  | - Speed test data submitted by individuals   | Common Practice |
| 13.6 | Digital Rutland Broadband Roll out Programme | Destroy <b>1 year</b> from effective end date of contract  | - Speed test data submitted by individuals   | Common Practice |

#### 14. REGISTRARS:

| Ref No.            | Functional Description   | Retention Action                                   | Examples of Records | Notes     |
|--------------------|--|--|---------------------|-----------|
| <b>Appointment</b> |  |  |                     |           |
| 14.1               | Appointment forms of Registration Officers   | Destroy <b>1 year</b> after Resignation/Retirement |                     | Statutory |
| 14.2               | Appointment forms of Authorised Persons under the Marriage Act 1898 or the Marriage Act 1949   | Destroy <b>2 years</b> after vacation of office    |                     | Statutory |
| 14.3               | Registrar General's authorities for registration after 12 months   | Retain for <b>2 years</b>                          |                     | Statutory |
| 14.4               | Books recording issue of books and forms of Medical Certificates   | Retain for <b>5 years</b>                          | - Form 17           | Statutory |
| 14.5               | Notifications of disposals of bodies of deceased persons   | Retain for <b>5 years</b>                          | - Form 9            | Statutory |
| 14.6               | Declarations made by applicants for certificates for disposal  | Retain for <b>5 years</b>                          |                     | Statutory |
| 14.7               | Marriage notices   | Retain for <b>5 years</b> from date of marriage    |                     | Statutory |
| 14.8               | Forms of consent to marriages of Minors  | Retain for <b>1 year</b> from date of marriage     |                     | Statutory |
| 14.9               | Caveats against the grant of a superintendent registrar's certificate or certificate and license or Registrar General's licence for marriage | Retain for <b>2 years</b> from lodgement of Caveat |                     | Statutory |
| 14.10              | Superintendent registrars certificates and certificates and licences for marriage  | Retain for <b>2 years</b> from date of marriage    |                     | Statutory |

|       |  |  |   |           |
|-------|--|--|---|-----------|
| 14.11 | Notifications of the issue of the Registrar General's licence for marriage and Registrar General's licences for Marriage   | Retain for <b>2 years</b> from date of marriage  |   | Statutory |
| 14.12 | Requisitions for certificates of births , marriage or death issued under certain Acts of Parliament for the purpose of those Acts  | Retain for <b>2 years</b>  |   | Statutory |
| 14.13 | Requisitions for certificates issued for the purposes of the 1 <sup>st</sup> Schedule to the Industrial Assurance and Friendly Societies Act 1948 and the 5 <sup>th</sup> Schedule to the Friendly Societies Act | Retain for <b>6 years</b>  |   | Statutory |
| 14.14 | Counterfoils of births, deaths, marriages, still-birth certificates  | Retain for <b>2 years</b> (but retained further if they have not been subject to scrutiny during a stock audit by the General Register Office) | <ul style="list-style-type: none"> <li>- Standard certificates of birth, marriage, death &amp; still-birth.</li> <li>- Certificates issued for purposes of certain Acts of Parliament</li> <li>- Certificates of Registration of births and still-births</li> </ul> | Statutory |
| 14.15 | Certificates issued for the purposes of the 1 <sup>st</sup> Schedule to the Industrial Assurance and Friendly Societies Act 1948 and the 5 <sup>th</sup> Schedule to the Friendly Societies Act 1974             | Retain for <b>6 years</b>  |   | Statutory |
| 14.16 | Certificates issued for the purpose of the provisions of   | Retain for <b>3 years</b>  |   | Statutory |

|       |   |                            |  |           |
|-------|---|----------------------------|--|-----------|
|       | the Friendly Societies Acts relating to a payment on the death of a child under the age of ten  |                            |  |           |
| 14.17 | Requisitions to persons liable to register who have failed to do so   | Retain for <b>1 year</b>   |  | Statutory |
| 14.18 | Forms of report of death to a coroner by registrar  | Retain for <b>1 year</b>   |  | Statutory |
| 14.19 | Certificates for disposal   | Retain for <b>5 years</b>  | <ul style="list-style-type: none"> <li>- Certificates issued before or after Registration of Death</li> <li>- Certificates of still-births</li> <li>- Forms of no liability to register</li> </ul> | Statutory |
| 14.20 | Record & Demand Book for Stock  | Retain for <b>10 years</b> | -  | Statutory |
| 14.21 | Financial record & receipt books  | Retain for <b>7 years</b>  | <ul style="list-style-type: none"> <li>- Cash book</li> <li>- Paying-in books/slips</li> <li>- Receipt Books</li> <li>- Registrar General's certificate &amp; direction</li> </ul>                 | Statutory |
| 14.22 | Form of Account (Office Copy)   | Retain for <b>2 years</b>  |  | Statutory |
| 14.23 | Relating to appointment & conduct of officers   | Retain for <b>2 years</b>  |  | Statutory |
| 14.24 | Relating to registration of births, marriages and deaths, correction of errors, birth re-registrations not made , issue of certificates under certain | Retain for <b>3 years</b>  |  | Statutory |

|       |   |                           |  |           |
|-------|---|---------------------------|--|-----------|
|       | Acts of Parliament, irregular burials   |                           |  |           |
| 14.25 | Relating to false information given to registration officers, falsification and forgery of certificates of birth, marriage or death; marriage of foreigners and persons divorced abroad | Retain for <b>3 years</b> |  | Statutory |
| 14.26 | Relating to accounting transactions, charges, receipts  | Retain for <b>2 years</b> |  | Statutory |
| 14.27 | Other correspondence  | Retain for <b>3 years</b> |  | Statutory |
| 14.28 | Statutory declaration regarding the loss or destruction of a certificate issued under the Industrial Assurance and Friendly Societies Act 1948 and the Friendly Societies Act 1974      | Retain for <b>6 years</b> |  | Statutory |

## 15. MUSEUM:

| Ref No.                | Functional Description                                     | Retention Action  | Examples of Records   | Notes           |
|------------------------|--|-------------------|---|-----------------|
| <b>Museum Services</b> |  |                   |   |                 |
| 15.1                   | Records of all objects in the Museum Permanent Collections | <b>Permanent.</b> | <ul style="list-style-type: none"> <li>- Accession Register</li> <li>- Object History Files</li> <li>- Depositor Files</li> <li>- Conservation records</li> <li>- Disposal records</li> </ul> | Common Practice |
| 15.2                   | Records of all objects on loan                             | <b>Permanent.</b> | <ul style="list-style-type: none"> <li>- Loan Agreements</li> </ul>   | Common Practice |

|      |   |                              |   |                 |
|------|---|------------------------------|---|-----------------|
|      | in to or out of the Museum  |                              | <ul style="list-style-type: none"> <li>- Object History Files</li> <li>- Depositor Files</li> <li>- Exit Forms</li> </ul> |                 |
| 15.3 | Records of all objects submitted to the Museum for identification                                 | <b>Permanent.</b>            | <ul style="list-style-type: none"> <li>- Object Files</li> <li>- Owner Files</li> </ul>                                   | Common Practice |
| 15.4 | Records of all enquiries submitted to the Museum relating to objects, family history and heritage | <b>Permanent.</b>            | <ul style="list-style-type: none"> <li>- Enquiry Log</li> <li>- Response Log</li> </ul>                                   | Common Practice |
| 15.5 | Visitor Surveys, periodically monitoring visitor satisfaction                                     | <b>3 years</b>               | <ul style="list-style-type: none"> <li>- Enquiry Sheet</li> <li>- Survey report</li> </ul>                                | Common Practice |
| 15.6 | Environmental Monitoring of building conditions and object cases.                                 | <b>3 years</b>               | <ul style="list-style-type: none"> <li>- Relative Humidity &amp; temperature graphs/ report</li> </ul>                    | Common Practice |
| 15.7 | Records of premises hire by individuals and organisations   | Destroy after <b>2 years</b> | <ul style="list-style-type: none"> <li>- Event Hire forms</li> </ul>  | Common practice |
| 15.8 | Records of premises hire for marriage and civil partnerships                                      | Destroy after <b>2 years</b> | <ul style="list-style-type: none"> <li>- Ceremony Hire forms</li> </ul>   | Common practice |

## 16. LIBRARY SERVICES

| Ref No.                            | Functional Description                                    | Retention Action   | Examples of Records  | Notes           |
|------------------------------------|---|--|--|-----------------|
| <b>Library Services</b>            |   |  |  |                 |
| 16.1                               | Registration Forms  | Destroy after <b>2 years</b>                                       | <ul style="list-style-type: none"> <li>Library membership form</li> </ul>  | Common practice |
| 16.2                               | Library Management System borrower records                | Record Expires every <b>2 years</b> unless re-activated.           | <ul style="list-style-type: none"> <li>LMS database record</li> </ul>  | Common Practice |
| 16.3                               | Internet Permissions forms                                | Destroy after <b>2 years</b>                                       | <ul style="list-style-type: none"> <li>Parental permissions for internet access to</li> </ul>                    | Common Practice |
| 16.4                               | Mechanism for public internet access.(Netloan system)     | Users are anonymised if they have been inactive for <b>2 years</b> | <ul style="list-style-type: none"> <li>Netloan User records</li> </ul>   |                 |
| 16.5                               | Children's event registration                             | Destroyed once statistics collated                                 | <ul style="list-style-type: none"> <li>Summer Reading</li> </ul>   | Common practice |
| 16.6                               | Records of premises hire by individuals and organisations | Destroy after <b>2 years</b>                                       | <ul style="list-style-type: none"> <li>Event Hire forms</li> </ul>   | Common practice |
| 16.7                               | Photography permission                                    | Destroy 2 years after event  | <ul style="list-style-type: none"> <li>Photography permission forms</li> </ul>                                   |                 |
| <b>Volunteer provided Services</b> |   |  |  |                 |
| 16.8                               | Session Registration Forms                                | Destroy <b>2 years</b> after customer terminates learning          | <ul style="list-style-type: none"> <li>IT Registration form</li> <li>Family History Registration Form</li> </ul> | Common practice |
| <b>Volunteering</b>                |   |  |  |                 |

|       |   |   |   |  |
|-------|---|---|---|--|
| 16.9  | Summary management systems that record the monitoring and management of volunteers, and volunteers on a waiting list in summary form.   | <b>Permanent.</b> (By department)   | <ul style="list-style-type: none"> <li>• Volunteers Registers in excel format</li> </ul>  | <b>Common Practice</b><br><i>Note: The summary information that this record class attempts to capture is:-</i><br>Name,<br>Date of Expression of interest, Date of Appointment or interview, Volunteer History/task interest Details,<br>Dates of breaks in periods of service,<br>Position/Designation, Titles and Dates Held, Whether IT access granted,<br>Dates volunteering terminated. |
| 16.10 | The process of administering volunteers to ensure that entitlements and obligations are in accordance with volunteer agreement.<br><br><ul style="list-style-type: none"> <li>• Disclosure and Barring Service Application forms</li> </ul> | Destroy 2 years from the date of termination of volunteering.<br><br>Kept by HR | <b>Personal File:</b> <ul style="list-style-type: none"> <li>• Expression of interest form/CV</li> <li>• Volunteer handbook / agreement copies incl. Induction checklist</li> <li>• Copy of volunteer checklist form (Right to work in UK etc)</li> <li>• Letter of appointment</li> <li>• Letter of acceptance</li> <li>• Medical/Next of Kin form</li> <li>• Role description</li> <li>• Copies of IT application forms</li> <li>• Referee reports</li> </ul> | <b>Common Practice</b>   |



|   |  |  |  |  |
|---|--|--|--|--|
| 16.11   | The selection of an individual for an advertised volunteering position.<br><br>'On Spec' volunteer applications. | Destroy <b>1 year</b> after recruitment has been finalised if volunteer does not want to go on waiting list.<br><br>Relevant documents will be placed in the successful volunteers personal files.<br><br>Volunteer asked to fill out Expression of interest form. Letters of reply is retained for <b>6 months</b> only if applicant does not want to go on a waiting list. CV is kept with | <ul style="list-style-type: none"> <li>• Expression of interest forms</li> <li>• Interview notes and any referee reports for unsuccessful applicants.</li> <li>• CV's</li> <li>• Volunteer Expression of Interest forms</li> <li>• Letters of enquiry</li> </ul> | Common Practice  |
| <b>Housebound and Deposit Collection Services</b> |  |  |  |  |
| 16.12   | Service forms  | Destroy <b>2 years</b> after service terminated, later if assets are outstanding on borrower record  | <ul style="list-style-type: none"> <li>• Housebound Profile form</li> <li>• Deposit collection agreement</li> </ul>  | Common Practice  |
| 16.13   | Delivery schedule/record for service users in receipt of a volunteer home visit.                                 | Destroy <b>2 years</b> after last entry in schedule  | <ul style="list-style-type: none"> <li>• Delivery schedule (an exercise book)</li> </ul>   | <i>Attempts to capture:</i><br>Expected date of visit, name of service user, volunteer in attendance, any necessary messages for the volunteer |
| <b>Copyright</b>                                  |  |  |  |  |
| 16.14   | Declaration Forms  | Destroy after <b>6 years</b>   | <ul style="list-style-type: none"> <li>• Copyright/non-commercial use declaration</li> </ul>   | Common Practice.   |
| <b>Exhibitions and Displays</b>                   |  |  |  |  |

|                              |   |   |   |                 |
|------------------------------|---|---|---|-----------------|
| 16.15                        | Exhibition/display details for internal or third party displays   | Destroy after <b>3 years</b>                              | <ul style="list-style-type: none"> <li>• Exhibition booking form</li> </ul>                                   | Common Practice |
| <b>Transfer of ownership</b> |   |   |   |                 |
| 16.16                        | Donation letters/other proof of acquired ownership of new or used books and other library materials from customers/third parties incl. local author donations.                      | Destroy after <b>3 years</b> where letter or proof exists | <ul style="list-style-type: none"> <li>• Donation letter</li> <li>• Donation form</li> <li>• Email</li> </ul> | Common Practice |
| <b>Lost property record</b>  |   |   |   |                 |
| 16.17                        | Details of items found and whether recovered by owner<br>Attempts to capture:<br>Date item found, Item details (including ownership if obvious), signature of owner when recovered. | <b>1 year</b> after last entry in book                    | -Lost Property log (exercise book)  | Common Practice |

**17. SPORT AND RECREATION:**

| Ref No.                     | Functional Description  | Retention Action           | Examples of Records   | Notes           |
|-----------------------------|---|----------------------------|---|-----------------|
| <b>Sport and Recreation</b> |   |                            |   |                 |
| 17.1                        | Storage of exercise referral forms in hardcopy and electronic copy and record data in a spreadsheet electronically. | Retain for <b>2 years.</b> | - Referral forms containing name, address, contact details, date of birth, medical conditions and medication. | Common Practice |
| 17.2                        | Store passport to leisure application forms in hardcopy.  | Retain for <b>2 years.</b> | - Application forms containing name, address, contact details and a photograph.                               | Common Practice |
| 17.3                        | Store local sport alliance minutes and agendas electronically.  | Retain for <b>5 years.</b> | - Minutes of meetings.<br>- Agendas.  | Common Practice |

## 18. LEARNING AND SKILLS

| Ref No.                    | Functional Description                                  | Retention Action  | Examples of Records                                      | Notes           |
|----------------------------|---|---|--|-----------------|
| <b>Learning and Skills</b> |   |   |  |                 |
| 18.1                       | Storage of school admissions form                       | Retain for current academic year plus <b>4 years.</b>   | - Application form                                       | Common Practice |
| 18.2                       | Storage of school records of Attendance and Exclusion   | Retain until <b>end of child's compulsory education</b> | - School records including accident and incident reports | Common Practice |
| 18.3                       | Special Educational Needs (SEN) documents               | Retain until <b>31<sup>st</sup> birthday</b>            | - Reviews<br>- Individual Education Plans                | Common Practice |
| 18.4                       | Performance and Employment documents                    | Retain until <b>end of child's compulsory education</b> | - Application form                                       | Common Practice |
| 18.5                       | Early Years Foundation Stage Profile Data – Child Level | Retain until <b>end of child's compulsory education</b> | - Files  | Common Practice |

## 19. ITC

| Ref No.    | Functional Description                     | Retention Action | Examples of Records | Notes  |
|------------|--|------------------|---------------------|--|
| <b>ITC</b> |  |                  |                     |  |
| 19.1       | Staff Emails (after leaving the Authority) | 1 year           | - All emails        | Emails will be retained for 1 year after a staff member has left the Authority (data contained within emails will have been appropriately passed to relevant department whilst the individual is in employment). |

## 20. Closed Circuit Television (CCTV)

| Ref No.     | Functional Description  | Retention Action  | Examples of Records                       | Notes   |
|-------------|---|---|---|---|
| <b>CCTV</b> |   |   |   |   |
| 20.1        | Storage of images collected by the Councils CCTV installations<br><br>- Oakham Town Centre<br>- Uppingham Town Centre<br>- Oakham Castle<br>- RCC Customer Services<br>- RCC Bus Station<br>- RCC Museum<br>- Jules House Oakham<br>- Kings Centre Barleythorpe<br>- Oakham Enterprise Park<br>- Ashwell Business Units<br>- Active Rutland Hub | 31 Days<br>31 Days<br>39 Days<br>28 days<br>28 days<br>75 days<br>49 days<br>28 days<br>30 days<br>28 days<br>28 days | - Images collected from CCTV owned by RCC | Individual software systems overwrite data after retention periods outlined in Retention Action column. |

## 21. Information Governance

| Ref No.     | Functional Description               | Retention Action               | Examples of Records  | Notes                                  |
|-------------|--------------------------------------|--------------------------------|--|--|
| <b>CCTV</b> |                                      |                                |  |  |
| 21.1        | Freedom of Information Request (FOI) | 2 years after close of request | FOI Requests<br>FOI Responses                                  | Common Practice                        |
| 21.2        | Subject Access Requests              | 2 years after close of request | FOI Requests<br>FOI Responses                                  | Common Practice                        |
| 21.3        | Proof of Life Requests               | 2 years after close of request | FOI Requests<br>FOI Responses                                  | Common Practice                        |
| 21.4        | Data Breaches                        | 6 years after closure          | Notifications,<br>correspondence, actions<br>& recommendations | Common Practice                        |
| 21.5        | Data Privacy Impact Assessments      | 6 years                        | Completed document   | Common Practice                        |
| 21.6        | Complaints                           | 7 years                        | Notifications,<br>correspondence,<br>response                  | Limitation Act 1980 s.2<br>(childrens) |

**A large print version of this document is available on request.**



**Rutland**  
County Council

Rutland County Council  
Catmose, Oakham, Rutland LE15 6HP

01572 722 577

[enquiries@rutland.gov.uk](mailto:enquiries@rutland.gov.uk)

[www.rutland.gov.uk](http://www.rutland.gov.uk)