



Retention and Disposal Schedules

Status/Version: 1.2

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Introduction

1.1 Introduction & scope

Effective records management standards are essential if the Council is to meet its legislative responsibilities, for example compliance with the Data Protection, Freedom of Information and the Local Government acts and other laws the Council works to. The following standards also take account of specialist guidance (issued by bodies such as the Information Commissioner's Office) and professional codes of practice.

These standards have been adopted by the Council to meet local needs while providing a consistent approach to record keeping. For detailed guidance on use of the standards, definitions, and related issues, staff should refer to the relevant Appendices.

To ensure legislative compliance:

- Records **MUST** be destroyed in accordance with the standards; and
- Backup copies stored on alternative media (server/microfilm/paper) should be destroyed.

Part 2 of this document details how long records should be kept for. Records for permanent preservation should be passed to Archives – the “Archivist”. You, or where appropriate your data processor (an external person or organisation working on your behalf), should document and retain details of all records disposed of. In cases where this is done outside of these standards, this and the reasons for such action should be reported in writing to RMU / Information Governance team.

1.2 Objectives

The standards define minimum and permanent record retention periods and:

- Identify records that we want to keep permanently as part of the local archives;
- Prevent the premature disposal of records that need to be retained for a specified period to satisfy legal, financial and other requirements of public administration;
- Provide consistency for disposing of records not required permanently; and
- Provide consistent Records Management standards for the Council.

1.3 Review

Records Management in consultation with the Directorate and Lead Officers will review the standards annually, or more frequently if required – for example due to changes in legislation or working practices. It is the responsibility of business areas to ensure they have identified legislative or best practice requirements for the retention of their business records.

Any omissions or errors regarding retention periods or records which are identified should be reported to the Information Governance team immediately by emailing RMU@pembrokeshire.gov.uk.

1.4 Approval of the Standards

This Retention and Disposal Standard has been authorised by

JAN 2016..... Date of Issue.

1. DEMOCRATIC PROCESSES				
Ref	Function Description	Retention Action	Examples of Records	Notes
1.1 Elections				
	Register of Electors	Permanent. Offer paper copy to Archivist after 10 year administrative retention period (period of retention of data copy to be agreed) Electoral Registration Forms – Original copy destroyed immediately prior to next annual update (Scanned image retention period to be agreed) Absent Vote applications – destroy 5 years after receipt Election Staffing Applications – Destroy 18 months after employment	<ul style="list-style-type: none"> • Electoral Register • Electoral Registration Forms • Postal/Proxy vote forms • Staffing Applications 	Common practice
	Election Paperwork	Destroy 12 months from close of poll	• Ballot papers	Statutory
	Election Expenses	Destroy 2 years after statutory deadline for receipt	• All election expense-related paperwork	Statutory
1.2 Results				
	Declaration of results (local elections only)	Destroy 6 months from date of election	• Consolidated returns of votes received	Statutory
	Public Notices	Permanent. Offer paper copy to Archivist	• Notice of results	Statutory
1.3 Council and Committee Meetings				
	The process of preparing business for Council consideration and making the record of discussion, debate and resolutions	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Council minutes • Council agenda and business papers • Council notice papers and proceedings • Indexes • Committee minutes • Registers of delegations to Special Committees 	Common practice
	Minute taking	Destroy after date of confirmation of the minutes	<ul style="list-style-type: none"> • Draft/rough minutes • Audio tapes and recorded media 	Common practice

1. DEMOCRATIC PROCESSES				
Ref	Function Description	Retention Action	Examples of Records	Notes
1.4 Partnership Agency and External Meetings				
	The process of preparing business for partnership and agencies consideration and making the record of discussion, debate and resolutions, where the local Council legally owns the record.	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Documents establishing the committee • Agendas • Minutes • Council reports • Recommendations • Supporting documents such as Council briefing and discussion papers 	Common practice
	The process of preparing business for external committees' consideration, and making the record of discussion, debate and resolutions, where the local Council does not own the record.	Destroy 3 years after last action	<ul style="list-style-type: none"> • Documents establishing the committee • Reports • Recommendations • Supporting documents such as briefing and discussion papers. 	Common practice
1.5 Honours Submissions				
	The process of preparing of honours submission	Destroy 5 years after last action	<ul style="list-style-type: none"> • Honours nomination form • Covering documentation • Letters of support • Referral for comment from lord lieutenant 	Common practice

2 MANAGEMENT AND ADMINISTRATION				
Ref	Function Description	Retention Action	Examples of Records	Notes
2.1 Corporate Planning and Reporting				
	The corporate planning and reporting activities of local authorities	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Corporate Plans • Strategy Plans • Business Plans • Annual Reports 	Common practice
	The process of preparing business for strategic consideration and making the record of discussion, debate and resolutions	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	• Strategic management team minutes	Common practice
	The process of preparing business for cross departmental consideration and making the record of discussion, debate and resolutions	Destroy 3 years from closure		Common practice
	The process of preparing business for Unit/Team consideration and making the record of discussion, debate and resolutions	Destroy 3 years from closure Destroy rough drafts after date of confirmation of the minutes	<ul style="list-style-type: none"> • Team minutes 	Common practice
2.2 Statutory Returns				
	The process of preparing information to be passed on to central government as part of statutory requirements	Destroy 7 years from closure	<ul style="list-style-type: none"> • Reports to central government (OFSTED) • Information collated for statutory surveys • Statutory Survey returns • Statutory returns (e.g. RAP, NIS etc.) • Statutory returns working data 	Common practice

2 MANAGEMENT AND ADMINISTRATION				
Ref	Function Description	Retention Action	Examples of Records	Notes
2.3 Policy, Procedures, Strategy and Structure				
	Activities that develop policies, procedures, strategies and structures for the Council	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded.	<ul style="list-style-type: none"> • Policy, procedure, precedent, instructions • Organisation charts • Records relating to policy implementation and development • Education plan • Asset management plan • Children' s services plan • Community strategy • Community plan • Community safety plan 	Common practice
	The process of monitoring and reviewing strategic plans, policies or procedure to assess their compliance with guidelines	Destroy 5 years from closure		Common practice
2.4 Public Consultation				
	The process of consulting the public and staff in the development of significant policies of the local Council	Destroy 5 years from closure	<ul style="list-style-type: none"> • Information collated for non-statutory surveys • Non-statutory survey returns 	Common practice
	The process of consulting the public and staff in the development of minor policies of the local Council	Destroy 1 year from closure		Common practice

2 MANAGEMENT AND ADMINISTRATION				
Ref	Function Description	Retention Action	Examples of Records	Notes
2.5 Information Management				
	The activity whereby standards, authorities, restraints and verifications are introduced and maintained to manage information effectively	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Classification schemes • Registers • Indexes • Authorised lists of file headings 	Common practice
	The management of collections of records transferred to the archives	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Accession registers • Depositor files 	Common practice
	The process that records the disposal of records	Destroy 13 years after last action	<ul style="list-style-type: none"> • Disposal certificates 	Common practice based on Limitation Act
2.6 Enquiries and Complaints				
	The management in summary form of enquiries and complaints directed to council	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded.	<ul style="list-style-type: none"> • Indexes • Registers 	Common practice
	The management of enquiries, submissions and complaints which result in significant changes to policy or procedures	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Reports • Returns • Correspondence 	Common practice
	The management of detailed responses on council actions, policy or procedures	Destroy 7 years after administrative use is concluded	<ul style="list-style-type: none"> • Reports • Returns • Correspondence • Ombudsman • Housing Tenancy complaints 	Common practice Finance & Legal Services
	The management of routine responses on council actions, policy or procedures	Destroy 2 years after administrative use is concluded	<ul style="list-style-type: none"> • Printed material • Form letters 	Common practice

2 MANAGEMENT AND ADMINISTRATION				
Ref	Function Description	Retention Action	Examples of Records	Notes
	The management of Email accounts	Retain for 1 month from date of email	<ul style="list-style-type: none"> •officers emails • team emails 	
	Customer Contact details held in CRM and online customer account / portal	Retain for life of account. When account closed or inactive retain for 3yrs then destroy	<ul style="list-style-type: none"> •Customer email, address •Customer mobile and telephone number •Customer Language Preference •Type of customer •Frequency of customer 	
2.7 Information Governance				
	Policy and procedure records created in fulfilment of the Council's obligations under the Data Protection Act 1998 (DPA), the Freedom of Information Act 2000 (FOIA), The Reuse of Public Sector Information Regulations 2005 (PSI) and the Environmental Information Regulations 2004 (EIR)	Destroy 6 years after procedures have been superseded. Consider permanent preservation	<ul style="list-style-type: none"> •Procedures for handling requests •Retention & Disposal Policy •Documents on the Council's DPA/FOIA/EIR/PSI policies 	All Custodians TNA
	Records created in fulfilment of the Council's obligations under the Regulation of Investigatory Powers Act 2000 ("RIPA")	Retain for 3 years from expiry date of last authorisation	<ul style="list-style-type: none"> •RIPA Register of Authorisations •RIPA Authorisations 	Statutory: Home Office Covert Surveillance Code of Practice <u>Authorisations-Criminal Procedures</u> Investigations Act 1996 ("CPIA")

2 MANAGEMENT AND ADMINISTRATION				
Ref	Function Description	Retention Action	Examples of Records	Notes
	Requests received under subject access rights under DPA where a disclosure is made	Destroy 6 years after disclosure	<ul style="list-style-type: none"> •Correspondence between: the data subject (or their agent) and the Council. •Internal departmental correspondence. •All information that was disclosed; •All information that was withheld along with grounds for withholding •All correspondence relating to the processing of the request through to disclosure 	
	Requests received under subject access rights under DPA where no disclosure is made.	Destroy 6 year after the date of the initial request	<ul style="list-style-type: none"> •Correspondence between: <ul style="list-style-type: none"> • The data subject (or their agent) and the Council. •Internal departmental correspondence. 	
	Requests received and any internal deliberations made under statutory powers, e.g. Crime & Taxation; Disclosures Required by Law;	Destroy 3 years from closure of request where information is issued Destroy 3 years from closure of issue/case where information is not held.	<ul style="list-style-type: none"> •WA 170 Police Requests made under Section 29 (DPA) •Annex Cs from Crown Prosecution Service •Requests made under Section 35 (DPA) 	Limitation Act 1980
	Requests and responses relating to FOI/EIR access to information requests	Transfer to the Council's Internet Disclosure Log Destroy data store copies 3 years from issue of response	<ul style="list-style-type: none"> •Disclosure letter containing details of the request; •Outcome of review/appeal responses (if applicable) •Attachments 	

2 MANAGEMENT AND ADMINISTRATION				
Ref	Function Description	Retention Action	Examples of Records	Notes
	Internal deliberations relating to FOI/EIR/DPA requests and/or advice provided by or received by Information Governance Team	Destroy 2 years from issue of advice or closure of issue/case - whichever is the longest	<ul style="list-style-type: none"> • Communications relating to: <ul style="list-style-type: none"> • public interest tests • internal reviews/appeals • Advice to stakeholders regarding DPA, FOI, EIR 	
	Reports and correspondence relating to internal investigations into compliance with information legislation	Destroy 3 years from the date of issue of the final report	<ul style="list-style-type: none"> • Incident investigation reports • Supporting correspondence 	
	Regulatory correspondence relating to FOI/EIR/DPA	Destroy 2 years from closure of issue/case	<ul style="list-style-type: none"> • Complaints/issues from the Information Commissioner's Office 	
	Statistical data about compliance with information legislation	Destroy 5 years after creation	<ul style="list-style-type: none"> • Quarterly and annual statistical reports • Subject access register • Incident event register 	
2.8 Quality and Performance Management				
	The process of monitoring or reviewing the quality, efficiency, or performance of a local Council service or unit	Destroy 5 years from closure	<ul style="list-style-type: none"> • Best Value Review • Internal performance (including reports) • Internal Business plans (dept copy) 	Common practice
	The process of assessing the quality, efficiency, or performance of a local Council service or unit	Destroy 2 years from closure	<ul style="list-style-type: none"> • Assessment form 	Common practice
2.9 Publications				
	The process of designing setting information for publication	Destroy 3 years from last action		Common practice

2 MANAGEMENT AND ADMINISTRATION				
Ref	Function Description	Retention Action	Examples of Records	Notes
	The published work of the Council	Destroy after administrative use is concluded Note: One copy from the initial print run should go directly to the archive.		Common practice
2.10 Media Relations				
	Process of interaction with the media	Destroy 3 years from closure		Common practice
	Media publications concerning local authorities	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Press cuttings • Media reports 	Common practice
2.11 Marketing				
	The process of developing and promotion of local authorities campaigns and events	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded		Common practice
2.12 Civic and Royal Events				
	The recording of ceremonial events and civic occasions	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Visitors' book • Audio tapes • Video tapes • Photographs • Newspaper cuttings 	Common practice
	The process of organising a ceremonial event or civic occasions	Destroy 7 years after administrative use is concluded		Common practice

3 CLIENT SERVICES				
Ref	Function Description	Retention Action	Examples of Records	Notes
3.1 Looked After Children				
	Systems, which manage children, looked after by the local Council, in summary form	Destroy 75 years from 18 th Birthday or for a period of 15 yrs after Date of Death	<ul style="list-style-type: none"> • Children's home register • Register of Staff employed in Children's Homes 	Common practice and in line with Protocol Default Timescale
	Process involving individual case management of children looked after by the local Council This includes children and young people: <ol style="list-style-type: none"> 1. Adopted via the local Council 2. In children's home 3. Fostered by local Council 4. On custodianship orders 5. On residence orders N.B for records on adopted children see separate entry	Destroy 75 years from 18 th Birthday or for a period of 15 yrs after Date of Death	<ul style="list-style-type: none"> • Young persons being looked after files • Looked after children client files • Residential care children's file • Residence Order files • Adoption files • Educational Psychology files (With LAC involvement) • Education Welfare Records (with LAC involvement) • Privately fostered children's file • Private Foster parents Records • Guardian CAFCASS files • Guardian ad litem • SEN files (With LAC involvement) • Connexions files (with LAC involvement) 	Statutory Powers: Section 50 of SI 2010 No 959 The Care Planning, Placement and Case Review (England) Regulations 2010; Childrens Act 1989 Common practice and in line with Protocol Default Timescale Statutory basis: The Arrangement of Placement of Children (General) Regulations 1991: Regulation 9 Fostering Service Regulations 2002/SI 2002 No 57
	Children and young people	Destroy 75 years from 18 th birthday or 15 years		

3 CLIENT SERVICES				
Ref	Function Description	Retention Action	Examples of Records	Notes
	subject to supervision orders	from the date of death, if the child dies before 18 th birthday.		
	Process involved in checking the suitability of people to become adoptive parents or foster carers	<ul style="list-style-type: none"> • Prospective adopters or foster parents, either approved at panel stage, but not placed with a child, or not approved as prospective adopters or foster parents at panel stage. Retain for 10 years from date of approval • Persons who have formally applied to be assessed as prospective adopters or foster carers, but not reached Panel stage. Retain for 10 years from date of formal application. • Enquiries from potential adopters/foster carers who never subsequently submit a formal application to start the approval process. Retain for 10 years from last contact 	<ul style="list-style-type: none"> • Adopters or foster carers who do not look after children. 	Statutory: Fostering Service Regulations 2002/SI 2002 No 57 Adoption Act 1983, Regulation 40-as appropriate
	Process involving individual case management of families or adults who have fostered children in their care	Destroy 75 years after 18 th birthday of youngest child looked after.	<ul style="list-style-type: none"> • Foster carer files • Supported lodging files 	Statutory: Fostering Service Regulations 2002/SI 2002 No 57
	Process involving individual case management of children Adopted via the local Council	For Adoptions pre-30 th December 2005-Retain for 75 years from date of the Adoption order. For Adoptions Post-30 th December 2005-Retain for 100 years from date of Adoption order	<ul style="list-style-type: none"> • Adoption files (both child and adoptive parent(s), plus associated Finance files and any adoptive parent counselling files) • Looked after children client files on the adopted person • Residential care children's file on the adopted person 	Statutory: Adoption Act 1983, Regulation 14 (3)-pre 30 th December 2005 Adoption and Children Act 2002, Section 56-post 30 th December 2005. Adoption Information (Post

3 CLIENT SERVICES				
Ref	Function Description	Retention Action	Examples of Records	Notes
				Commencement Adoptions) Regulations 2005, section 6 (SI 2005 No.888).
	Enquiries from potential adopters/foster carers, who never subsequently submit a formal application to start the approval process	Destroy 1 year from last contact	•Correspondence	Common practice Statutory: Fostering Service Regulations 2002/SI 2002 No 57
	Children with Mental Health issues ("mentally disordered")	Where treated: Retain until 25th birthday of child Where child is still receiving treatment at age 17: Retain until 26th birthday of child Where child patient (0-18) dies: Retain for 8 years after death-unless there are research or other reasons for retaining.	•Community Area Mental Health Service (CAMHS) files.	Statutory: Department of Health Retention & Destruction Guidance
3.2 Child Protection				
	Process involving summary case management of children under the protection of local Council.	Destroy 75 years from 18 th birthday.	•Child Protection Register (Children subject to Child Protection Plan) •Initial Child Protection conference-child put on register	Common practice and in line with Protocol Default Timescale
	Children convicted of sexual offences	Permanent. Retain for 75 years and then offer to Archivist.	•Records relating to sexual offences applying to young	Statutory: Sex Offenders Act

3 CLIENT SERVICES				
Ref	Function Description	Retention Action	Examples of Records	Notes
			people under 20 years of age •Offences recorded on Sex Offender register	1997, Schedule 1
	Process involving summary case management of Persons Posing a Risk to Children (PPRC)	Permanent. Retain for 75 years from 18th Birthday, i.e. when children involved attain the age of 93 then Offer to Archivist. Transfer to place of deposit after administrative use is concluded Referrals received where: - No individual is identified; or - No Children are named; and - No Council involvement is required. Retain for 12 months from date of referral.	•PPRC	Statutory: Sex Offenders Act 1997, Schedule 1 Also: Common practice closed for 70 years
	Process involving individual case assessment, investigation, registration, and management of children involved in child protection: a) investigated, conferenced and registered b) core assessment c) investigated but not conferenced and registered d) Contact, referral and initial assessment only	Destroy 75 years from 18th birthday c) 35 years from closure d) 5 years from closure	•Child protection case files which have •Conference minutes •Core assessment •Investigation •Registration •All other child care records on the individual	Common practice and in line with Protocol Default Timescale
	Process involving individual cases involving initial assessment and provision of advice in regards child	Destroy 75 years from 18th birthday	• Child protection files • Initial assessment • Files relating to unaccompanied minors	Common practice and in line with Protocol Default Timescale

3 CLIENT SERVICES				
Ref	Function Description	Retention Action	Examples of Records	Notes
	protection		• Advice only	
3.3 Children's Education– General				
	Pupil Files – Primary	Retain for the time which the pupil remains at the primary school Transfer to the secondary school (or other primary school) when the child leaves the school.	• Pupil record cards	Common practice
	Pupil Files-Secondary	Retain from DOB of the pupil + 25 years then dispose of securely	• Pupil record cards	Statutory: Limitation Act 1980
	Children in need (who have not been adopted or looked after and who have not been the subjects of a child protection inquiry). Contact, referral and initial assessment only CIN: Contact and referral only	Destroy 10 years from closure Destroy 5 years from closure Destroy 3 years from closure All other child care records on the individual, including Children & Family Centre, DBIT records, Family Group meetings to be destroyed 10 years from closure or in accordance with applicable retention period for the main case record where a main case record exists.	• Case records	Common practice and in line with Protocol Default Timescale
	Video recordings of child witnesses	Subject to individual disposal decision by Director Children's Services and the senior Police Officer concerned.	• Video recordings • Taped evidence	Common practice
	Process involving registration of individual child	Destroy 10 years from last contact <i>Function carried out by OFSTED since 1st April</i>	• Child minder/day care • Registration files	Statutory

3 CLIENT SERVICES				
Ref	Function Description	Retention Action	Examples of Records	Notes
	minders/day care providers	2002. Some files remain with PCC		
	Process involving use/management of specialist child minding/ day care provision by PCC for children & young persons social care	Destroy 10 years from last contact. If children have stayed overnight with the child minder concerned, destroy 35 years after last contact.	<ul style="list-style-type: none"> • Records on child minders • Sessional carers used for children & young persons social care purposes, • Investigation of allegations/incidents. 	Fostering Service Regulations 2002/SI 2002 No 57
	Statutory checks of social services records undertaken at request of other agencies	7 years from date response provided Checks proven "Not Known" to the Council-retain for 12 months from date request responded to.	<ul style="list-style-type: none"> • Checks for Ofsted re child minding/day care applicants. • Checks for other fostering agencies 	Statutory
3.4 Special Educational Needs				
	Process involving in assessing and providing individual support for children who have need of special education support (<u>Not</u> Looked-After Children)	Destroy 35 years from closure	<ul style="list-style-type: none"> • SEN statements and files • Non-statemented pupil files • Educational Welfare files • Educational Psychology files • Youth Offending Service files with SEN involvement 	Common practice
3.5 Family Support				
	Process involving individual case management in the provision of support by the local Council to families	Destroy 6 years from file closure	<ul style="list-style-type: none"> • Parenting skills • Special education • Attendance records • Project files • Free School Meals Application Forms 	Common practice
	Process involved in assessing a family's suitability in the care of children	Destroy in accordance with applicable retention period for the main Social Care and Health case record.	<ul style="list-style-type: none"> • Parenting skills • Family Aide work • Intensive Support Team 	
3.6 Adult and Elderly Case Files				
	Process involving summary case management of	Permanent. Offer to Archivist. Transfer to place of deposit after administrative	<ul style="list-style-type: none"> • Elderly person's homes • Admission and discharge 	Department of Health Guidance

3 CLIENT SERVICES				
Ref	Function Description	Retention Action	Examples of Records	Notes
	services or support to adults	use is concluded	<ul style="list-style-type: none"> registers • Administration of Medication records 	
	Process involving in assessing and providing individual support for people with mental illness (People who are "mentally disordered").	<p>Destroy 20 years after last contact (or 8 years after date of death, whichever is the sooner)</p> <p>Carer complaint records-retain for 3 years from creation</p>	<ul style="list-style-type: none"> • Mental Health files, including: • Day service records • Respite Care Spreadsheets • Substance Misuse records • Residential home records • Satellite records, • Finance records • Benefits Support files 	<p>Statutory: Adult Placement Schemes (England) Regulations 2004, No 2071</p> <p>Regulation 22 Mental Health Act 1983</p> <p>Other: Records Management: NHS Code Of Practice (2nd Edition) – Annex D1</p> <p>Department of Health Guidance</p>
	Process involving in assessing and providing individual support or services for all other people	Destroy 10 years after last contact	<ul style="list-style-type: none"> • Day service provision • Learning & Physical disability • Sensory disability • Advice & Support • Rehabilitation and discharge • Communication support • Drug and alcohol misuse • Occupational therapy • Register of Disabled, Blind or Partially Sighted, Deaf or with a Hearing Loss • Supported Employment Client Records 	<p>Statutory: Chronically Sick and Disabled Persons Act 1970 (c44) Section 1</p> <p>PCC practice</p>

3 CLIENT SERVICES				
Ref	Function Description	Retention Action	Examples of Records	Notes
	Home Care Services	Retain for 3 years from creation	<ul style="list-style-type: none"> Records of services provided 	Statutory: The Domiciliary Care Agencies Regulations 2002 No 3214 Regulation 19
	Process involved in checking the suitability of people to become supported lodgings providers for adults and case records of providers of placements	Destroy 7 years from closure	Adult Placement Scheme	
	Enquiries from potential providers of supported lodgings for adults, but who never subsequently submit a formal application to start the approval process	Destroy 1 year from last contact	<ul style="list-style-type: none"> Adult Placement Scheme 	
	Provision of services to Asylum Seekers	Retain for () since date of deportation/last contact	<ul style="list-style-type: none"> Records relating to provision of all social services for adult asylum seekers. 	Statutory: Asylum & Immigration (Treatment of Claimants etc.) Act 2004 (c19)
3.7 Admissions and Exclusions				
	Case Files (including appeals)	Destroy 25 years from last action	<ul style="list-style-type: none"> Appeal files Exclusion files 	Common practice
3.8 Programme Management and Development				
	Providing services or programmes for children	Destroy 7 years from closure	<ul style="list-style-type: none"> Social Worker Diaries & Notebooks 	PCC practice
	Process involved in provision of services or programmes to	Destroy 25 years from closure	<ul style="list-style-type: none"> Attendance records Course reports 	Common practice

3 CLIENT SERVICES				
Ref	Function Description	Retention Action	Examples of Records	Notes
	support the development of children			
	Process involved in provision of a services or programmes to support the development of young persons	Destroy 15 years from closure		Common practice
	Process involved in provision of services or programmes to adults	Destroy 7 years from closure		Common practice
3.9 Residential Homes				
	Summary management systems that manage children/adults housed by the local Council	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> •Children's/adults home Registers •Admissions registers •Discharge registers 	Common practice
	Documents relating to the operation of the establishment	Destroy 75 years from 18th Birthday, i.e. when last resident individual attains the age of 93	<ul style="list-style-type: none"> • Diaries • Rotas • Daily logs of activity • Record of pocket money and valuables • Medical/health care • Visitor records/logs • Inspection reports • Fire precautions and practices Plus, in the case of children's establishments: <ul style="list-style-type: none"> • Register of adults working in the home • Record of authorised/unauthorised absences • Sanctions 	Common practice

3 CLIENT SERVICES				
Ref	Function Description	Retention Action	Examples of Records	Notes
			<ul style="list-style-type: none"> • Menus • Secure unit records 	
3.10 Housing				
	The process of the allocation and management of welfare housing by the local Council and the associated issues of homelessness			
	General Housing Issues	<p>Destroy 7 years from date of action.</p> <p>Rent Accounts destroy 12 years after tenancy terminated.</p> <p>Council tax/NDR Court Files destroy 6 years from end of case</p> <p>Council Tax/NDR applications for discounts /exemptions retain for life of claim</p> <p>Council Tax/NDR Financial reports retain until audited by PCC Internal Audit.</p>	<ul style="list-style-type: none"> • Home Energy • Housing Benefits • Renewals and Grants • Leaseholder Accounts • Mortgage Accounts • Rent Accounts • Council Tax/NDR Liability Orders/summonses • Council Tax/NDR Debt Write-off reports • Revenues & Benefits general correspondence • Right-to-Buy • Council Tax and NDR • Housing Development • Anti-Social Behaviour Orders and Interim Anti Social Behaviour Orders (ASBO) 	Housing Finance & Legal Services
	Paper records relating to the application for housing	<ul style="list-style-type: none"> • Assessment Forms • Running records (eg emails, notes) • Financial information – benefits/personal banking details 	<p>Applications (hard copy records)</p> <p>Destroy 6 months after case is closed and there has been no</p>	Best Practice

3 CLIENT SERVICES

Ref	Function Description	Retention Action	Examples of Records	Notes
		<ul style="list-style-type: none"> • Identity information • Court documents • Temporary accommodation information • Landlord/letting agent documents • Decision letters – including initial decisions • Medical information • Other agency documentations, eg police, support agencies, social care • Offer of accommodation documents 	<p>further contact with the customer</p> <p>Unsuccessful Applications (hard copy records) Following Review: Destroy 6 months after the outcome of the review, the case has been closed and there has been no further contact with the customer.</p> <p>Electronic Applications System archive 6 months after case is closed and there has been no further contact with the customer.</p> <p>Unsuccessful Applications (Electronic records) Following Review: System archive 6 months after the outcome of the review, the case has been closed and there has been no further contact with the customer.</p>	
	Supporting People	<p>Destroy 3 years from case closure unless of extended relevance.</p> <p>Sheltered Housing, destroy after length of tenancy plus 1 year unless of extended relevance.</p> <p>Homefinder files, Housing Waiting Lists,</p>	<ul style="list-style-type: none"> • Hostels • Homefinder • Tenancy Support • Sheltered Housing • Supported Housing • Community Care 	Housing

3 CLIENT SERVICES				
Ref	Function Description	Retention Action	Examples of Records	Notes
		destroy after life of application plus 1 year. Housing Improvement & Repairs Destroy 10 years from date of action.	<ul style="list-style-type: none"> • Housing Improvement & Repairs • Outreach teams 	
	Housing Management	Key Tenancy records destroy 6 years after tenancy terminated. Length kept dependent on relevance (up to length of tenancy).	<ul style="list-style-type: none"> • Key Tenancy records (termination documents, sign-up slips etc). • Correspondence from Tenants 	Housing
3.11 Youth				
	Youth Justice	Retain for 3 years from date of decision/order (or until the young person reaches their 18th Birthday whichever is sooner) Statutory orders-retain for 5 years from closure or transfer of case. (After 3 years-reduce case file to Pre-court decisions, reprimands, Final warnings and Referral Orders).	<ul style="list-style-type: none"> • Youth Offending Service Case files • Youth Court Papers • Pre-Court decisions • Reprimands • Final warnings • Referral Orders • Statutory orders 	Statutory: Crime & Disorder Act 1998, Section 39 Also: Youth Justice Board Guidance.
	Youth Services	Destroy - 25 years from DOB or 10 years from last contact - whichever longer	<ul style="list-style-type: none"> • Youth Service files 	
3.12 Community Learning				
	Learning Pembrokeshire	Retain for 6 years from Audit period for the financial year to which the grant relates.	<ul style="list-style-type: none"> • Enrolment forms • Registers • Class lists • Examination records 	PCC Current practice
	Student Information Database (SID)	Destroy – 10 years after course completion	<ul style="list-style-type: none"> • Learner record & activity 	PCC Current practice

4 LEGAL AND CONTRACTS				
Ref	Function Description	Retention Action	Examples of Records	Notes
4.1 Claims				
	Claims	Retain for 7 years Road Scheme Part 1 compensation claims. Retain for 6 years.	<ul style="list-style-type: none"> • High Court against PCC • High Court by PCC • County Court against PCC • County Court by PCC • Pension Claims-Dispute • Compensation payments • Road Scheme Part 1 compensation claims 	Finance Services
4.2 Contracts				
	Contracts	Unless stated otherwise-Retain for 16 years Pre-Contract Advice -Destroy 2 years after contract let or not proceeded with Pre-Qualification Questionnaires (PQQ) – destroy 1 year after contract has been let Specification and Contract Development – Contracts not under seal -destroy 6 years from contract expiry date. Specification and Contract Development – Contracts under seal -destroy 12 years after terms of contract have expired. Tender Issue and Return -Destroy 6 years from expiry or return of tender. Evaluation of Tender: Contracts not under seal-Summary tender evaluation criteria - destroy 6 years after the terms of contract have expired Contracts under seal-Summary tender evaluation criteria - destroy 12 years after the terms of contract have expired Contracts not under seal-successful tender	<ul style="list-style-type: none"> • Major Works • Computer • Minor Works (Non-standard) • Consultancy • Goods • Services • Concession • Commission (Work) • Minor Works Contracts (Unit rate) • General • Consortium agreement • Warranties and indemnities • Agency contracts • Pre-Contract Advice • Tender issue, return and evaluation • Specification and Development of Contract • Post-tender negotiation • Award of Contracts 	Finance Services.

4 LEGAL AND CONTRACTS				
Ref	Function Description	Retention Action	Examples of Records	Notes
		<p>documents-destroy 6 years after terms of contract have expired.</p> <p>Contracts under seal-successful tender documents-destroy 12 years after terms of contract have expired.</p> <p>Unsuccessful tender documents-destroy at end of contract period</p> <p>Post –tender negotiation- Destroy 1 year after terms of contract have expired.</p> <p>Awarding of Contract-Contracts not under seal-destroy 6 years after terms of contract have expired.</p> <p>Awarding of Contract-Contracts under seal-destroy 12 years after terms of contract have expired</p> <p>Contract Management-Contracts not under seal-destroy 6 years after terms of contract have expired</p> <p>Contract Management-Contracts under seal-destroy 12 years after terms of contract have expired</p> <p>Contract Management operation and monitoring-Service level agreements, compliance reports, performance reports</p> <p>Tenders aborted-Retain for 6 months from end of process</p>	<ul style="list-style-type: none"> • Pre-Qualification Questionnaires • Contract monitoring arrangements 	
4.3 Debts				
	Debts	Retain for 7 years	<ul style="list-style-type: none"> • Ex-Tenant Arrears (without existing orders) • Overpaid Housing Benefit • Building Inspection Fees • Overpaid Housing Benefit to 	

4 LEGAL AND CONTRACTS				
Ref	Function Description	Retention Action	Examples of Records	Notes
			<ul style="list-style-type: none"> Landlord • Employee Debts • Furniture Pack • Hostel Arrears • Rechargeable Works • Drain/Footway & Repair Work • Market Stall Arrears • Commercial Debts • RTB Service & Repair Charges • Works in Default • Accident Damage • Overpaid Council Tax Benefit • Overpaid Student Grants • Furniture Storage • Residential Care Homes • Shop Front/Face Lift Scheme • Racial Harassment Loan • Home Care Charges • Housing Renovation Grant • Advertising • Block Schemes • Magazine Business Centre • Ex –Tenant Arrears (With existing Court Order) • Tipping Charges • Target Rent Cooker • Removal of Rubbish • Deposit Guarantee Scheme • Sundry Debts 	

4 LEGAL AND CONTRACTS				
Ref	Function Description	Retention Action	Examples of Records	Notes
			• Liquidation	
4.4 Education				
	Education Files	Retain for 7 years.	<ul style="list-style-type: none"> • Special Educational Needs legal files • Delegated Budget • Educational Records • Nuisance (Schools) • Pupils • School Premises • School Transport • Student Transport • ACPC • Registered Child minder/Day Care • General Advice (Education) • General Advice (Children) 	
	School Exclusions & Admissions	School Admission Appeals Retain for 2 years from conclusion of process School Exclusion Appeals Retain for 5 years from conclusion of process	<ul style="list-style-type: none"> • Exclusions legal files • Admissions • Complaints Panel • Representations Panel 	School Admission Appeals Code, issued under Section 84 School Standards and Framework Act 1998 Exclusion from maintained Schools, Academies and Pupils Referral Units in England (Statutory Guidance)

4 LEGAL AND CONTRACTS				
Ref	Function Description	Retention Action	Examples of Records	Notes
	Student Awards	Retain for 2 years	<ul style="list-style-type: none"> • Awards 	
	Educational Trusts	Permanent-Minimum 7 years	<ul style="list-style-type: none"> • Educational Trusts 	
4.5 Employment Law				
	Employment Law	Retain for 7 years	<ul style="list-style-type: none"> • Advice • Tribunals • Disciplinary matters • Equal pay claims 	
4.6 Housing				
	Administration of Housing Benefit, Discretionary Housing Payments, Council Tax Support	General. Retain for 7 years	<ul style="list-style-type: none"> • Benefit/Discount application forms and any other supporting paperwork. 	Financial requirement = 6 years plus current.
	General Housing issues	Disposal (Non RTB) Permanent . Section 25 (Unit Rate). Retain for 16 years Section 25 (non-standard). Retain for 16 years	<ul style="list-style-type: none"> • Housing Benefit Review Board • Housing Possession-Rent Arrears • Housing Possessions-Non Rent • Housing Renewal Grant Work • Housing Renovation Grants • Introductory Tenancies Panel Attendance-Housing • Introductory Tenancies-Rent • Introductory Tenancies-Non-Rent • Section 25 (Unit Rate) 	

4 LEGAL AND CONTRACTS				
Ref	Function Description	Retention Action	Examples of Records	Notes
			<ul style="list-style-type: none"> • Section 25 (Non-standard) • Disposal (Non RTB) • Title/Status Enquiry (Property) • Mortgage Work (Non RTB) • Release of Rent bond 	
	Right-to-Buy	Retain for 25 years	<ul style="list-style-type: none"> • Right-to-Buy (Unit rate) • Right-to-Buy (Non standard) 	
	Lease/Tenancy	Retain for 16 years	<ul style="list-style-type: none"> • Assignment • Grant • Renewal • Rent Review • Surrender • Termination • Variation • Way Leave 	
4.7 Licences & Licensing				
	Licences	Retain for 16 years	<ul style="list-style-type: none"> • Standard • Non-Standard • Amenity • Property 	
	Licensing	Retain for 7 years	<ul style="list-style-type: none"> • Appeals • Liquor Licensing 	
4.8 Planning				
	Planning Orders	Retain for 50 years	<ul style="list-style-type: none"> • Agreements • Enforcements • Traffic Regulation Orders • Discontinuance Notices 	
	Appeals	Retain for 7 years	<ul style="list-style-type: none"> • Planning Appeals 	

4 LEGAL AND CONTRACTS				
Ref	Function Description	Retention Action	Examples of Records	Notes
	Listed Buildings	Retain for 50 years offer to Archives	<ul style="list-style-type: none"> Listed Buildings 	
4.9 Prosecutions				
	PCC Prosecution Files	Retain for 7 years	<ul style="list-style-type: none"> Prosecutions by PCC Injunctions Anti-social behaviour 	
	Material unused in prosecution	Retain until 6 months after conviction, or 6 months after release from prison where a custodial sentence was awarded.	<ul style="list-style-type: none"> Prosecutions by PCC 	Statutory basis
	Prosecutions against PCC	Retain for 7 years	<ul style="list-style-type: none"> Prosecutions against PCC 	
4.10 Social Care & Health				
	Adoption	Retain for 125 years from DOB	<ul style="list-style-type: none"> Adoption files CICA Claims 	
	Adoption Panels	Retain for 25 years	<ul style="list-style-type: none"> Adoption panels Complaints panel 	
	Community Care	Retain for 7 years	<ul style="list-style-type: none"> Assessments Finance 	
	Care Proceedings	Retain for 25 years	<ul style="list-style-type: none"> Care Proceedings Private law proceedings 	
	Case Conferences	Retain for 25 years	<ul style="list-style-type: none"> Case Conferences 	
	Disclosure	Retain for 7 years	<ul style="list-style-type: none"> P11 	
	Learning Disabilities	Retain for 7 years	<ul style="list-style-type: none"> Learning Disabilities 	
	Provision of Services	Retain for 7 years	<ul style="list-style-type: none"> Adult Services General Advice (Adults) Financial Assessment Advice 	
	Mental Health	Retain for 10 years	<ul style="list-style-type: none"> Mental Health 	

4 LEGAL AND CONTRACTS				
Ref	Function Description	Retention Action	Examples of Records	Notes
	Registered Homes	Retain for 7 years	<ul style="list-style-type: none"> • Registered Homes 	
	Reports	Retain for 25 years	<ul style="list-style-type: none"> • S7 • S37 • Looked-after Children 	
	Secure Accommodation	Retain for 25 years	<ul style="list-style-type: none"> • Secure Accommodation 	
	Inherent Jurisdiction	Retain for 25 years	<ul style="list-style-type: none"> • Inherent Jurisdiction 	
4.11 Traffic				
	Traffic files	Retain for 25 years	<ul style="list-style-type: none"> • Highways Agreement • Traffic Regulation Orders (other) 	
	Traffic Regulation Orders	Retain for 7 years	<ul style="list-style-type: none"> • Traffic Regulation Orders (Temporary) • Traffic Regulation Orders (Special) 	
	Street Naming	Permanent	<ul style="list-style-type: none"> • Renaming of Streets 	
4.12 Other Files				
	Miscellaneous Files	Retain for 25 years Procurement process work. Retain for 7 years Judicial review. Retain for 7 years Charter and Civic Rights. Permanent Economic Development. Retain for 16 years.	<ul style="list-style-type: none"> • Compulsory Purchase Orders • Shires Compulsory Purchase order • Charter and Civic Rights • Covenants • Releases • Variation • Easement • Miscellaneous • Procurement process work 	

4 LEGAL AND CONTRACTS				
Ref	Function Description	Retention Action	Examples of Records	Notes
			<ul style="list-style-type: none"> • Judicial review • Economic Development 	
	Preservation Orders	Permanent	<ul style="list-style-type: none"> • Preservation Orders 	
	Footpaths	Retain for 25 years	<ul style="list-style-type: none"> • Footpath Diversion Orders 	
	Statutory Acquisitions and Purchases	Retain for 25 years	<ul style="list-style-type: none"> • Acquisitions • Appropriations • Transfers • Purchases (Land) • Transfer of deeds by PCC 	
	Grants & Loans (Non Housing Renewal)	Retain for 16 years	<ul style="list-style-type: none"> • Non Housing • ERDF funded projects 	
	Trespass	Retain for 16 years	<ul style="list-style-type: none"> • Land • Property 	
	Joint Consultative Committee	Retain for 7 years	<ul style="list-style-type: none"> • JCC 	
	Service Standards	Retain for 7 years	<ul style="list-style-type: none"> • Service Standards 	
	Directorate	Retain for 7 years	<ul style="list-style-type: none"> • General Advice • Policy Documents • Enquiries • Corporate legal advice • CCT-DSO Advice 	
	Land Registry	Retain for 7 years	<ul style="list-style-type: none"> • Land Searches • Registration • Voluntary registration project 	
	Intellectual Property	Retain for 80 years	<ul style="list-style-type: none"> • Intellectual Rights 	
	Local Council Company work	Permanent	<ul style="list-style-type: none"> • Company work 	

4 LEGAL AND CONTRACTS				
Ref	Function Description	Retention Action	Examples of Records	Notes
	Trust and Probate work	Permanent	<ul style="list-style-type: none"> • Trusts (Advice and assistance) 	
	Orders	Permanent	<ul style="list-style-type: none"> • Orders otherwise uncategorized 	
	Complaints	Retain for 7 years	<ul style="list-style-type: none"> • Legal complaints 	

5 STATUTORY SERVICES				
Ref	Function Description	Retention Action	Examples of Records	Notes
5.1 Registrar of Births, Marriages and Deaths				
	Process of the summary registration of a birth, death or marriage	Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded	<ul style="list-style-type: none"> •Deaths register •Births register •Marriage/Civil Partnership register 	Common practice
	Process of certification of the registration of a birth, death or marriage/Civil Partnership	Destroy 7 years after last action	<ul style="list-style-type: none"> •Birth certificate •Death certificate •Marriage certificate 	Common practice
5.2 Marriage Services				
	Process of conducting a marriage service	Destroy 3 years after last action		Common practice
5.3 Notices				
	Process of notification in relation to birth, death or marriage	Destroy 2 years after last action	<ul style="list-style-type: none"> •Wedding banns •Notice of marriage 	Common practice
5.4 Coroners				
	Summary registration of reported deaths	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	•Reported deaths register	Set by Public Record Office
	Coroner's case work. For further information please refer to Home Office website www.homeoffice.gov.uk/circulars/1999/hoc9959.html			
	The process and actions of inquiring into deaths which do not proceed to an inquest.	Destroy 15 years after last action	•Coroner's case files	Set by National Archives

5 STATUTORY SERVICES				
Ref	Function Description	Retention Action	Examples of Records	Notes
	The process and actions of inquiring into deaths which proceed to an inquest	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded	•Coroner's case files	Set by National Archives. Can be sampled according to: •set a precedent in law or practice; •Relate to an individual, accident or crime subject to prolonged or repeated interest from the national media.
5.5 Treasure Trove				
	The process and actions of Treasure inquests	Destroy 2 years after last action		Set by National Archives

6 HUMAN RESOURCES				
Ref	Function Description	Retention Action	Examples of Records	Notes
6.1 Employment Services Administration				
	<p>Summary management systems that allow the monitoring & management of employees in summary form</p> <p><u>Note: The summary information that this record class attempts to capture is:</u></p> <ul style="list-style-type: none"> •Name •DOB •Gender •Marital status •Home address •Telephone number •Emergency contacts •Next-of-kin •Date of appointment •Work history details •Position/designation •Titles & dates held •Salary records 	<p>Permanent. Offer to Archivist for review.</p> <p>Transfer to place of deposit after administrative use is concluded</p> <p>Salary record, destroy 7 years after termination of employment</p> <p>Overpayments, destroy after 7 years.</p> <p>E1As, Destroy after duration of employment + 7 years</p> <p>Payslips, destroy after 7 years, ideally retain 13 years due to pension queries.</p> <p>Flexitime/timesheets, current + 2 years.</p> <p>WTD opt-out form, duration of employment or 3 years after opt-out has been rescinded or ceased to apply</p> <p>Establishment Lists, retain for up to 5 years for reasons relating to recruitment etc.</p> <p>Employee contact details, duration of employment in post/section</p> <p>Salary verification and Benefit Agency enquiries, rolling 6 months.</p> <p>Fraud Enquiries (Forms EQ1 & FU9) retain for 3 years from receipt</p>	<ul style="list-style-type: none"> •Employment Register – Permanent Staff •Employment Register – Temporary Staff •Employment Register – Casual Staff •Registers of Employment Services files •Personal History cards •Superannuation history card • Salary master record • Timesheets • Overpayments • E1As • Payslips • Flexitime • Working Time Directive Opt-out form • Establishment Lists • Employee contact details • Salary verification/mortgage etc. • Benefit Agency enquiries 	Common practice Employment Services

6 HUMAN RESOURCES				
Ref	Function Description	Retention Action	Examples of Records	Notes
	The process of administering employees to ensure that entitlements & obligations are in accordance with agreed employment requirements. Records containing pension information	<p>Destroy 7 years after termination of employment.</p> <p>Probationary assessment forms and additional notes, 1 year after satisfactory completion</p> <p>Pension documentation destroy 3 years from date of leaving</p>	<ul style="list-style-type: none"> •Medical clearance •Letter of appointment •Letter of acceptance •Employment contracts •Details of assigned duties •Probation assessment forms and additional notes •Medical examinations •Personal particulars •Educational qualifications •Declarations of pecuniary interests •Secrecy undertakings •Death in service details 	Income tax (paye) regulations, National Insurance regulations, National Minimum Wage regulations, LGPS, TPS and NHS regulations.
	HR Records relating to staff working with children & vulnerable adults	Destroy 93 years from staff DOB (or dates to run in line with LAC files of children whichever is longer)	<ul style="list-style-type: none"> •Staff supervision records •Staff File 	PCC Current practice
	Leave	<p>Destroy 7 years after termination of employment.</p> <p>Compassionate leave, Current and previous two calendar years</p> <p>Request and approval of annual leave carried forward, current and previous year</p> <p>Record of annual leave taken, Line Manager must retain current and previous year</p> <p>TOIL, Line manager must retain current and previous year.</p>	<ul style="list-style-type: none"> •Unpaid leave •Paternity leave •Maternity leave •Compassionate leave •Request and approval of annual leave carried forward •Record of annual leave taken •TOIL 	Employment Services
6.2 Employee and Industrial Relations				
	Identification and development of significant directions concerning industrial matters	<p>Permanent. Offer to Archivist for review.</p> <p>Transfer to place of deposit after administrative use is concluded</p>	<ul style="list-style-type: none"> •Generic agreements and awards •Negotiations •Disputes 	Common practice

6 HUMAN RESOURCES				
Ref	Function Description	Retention Action	Examples of Records	Notes
			<ul style="list-style-type: none"> •Claims lodged •Conditions of Service •Staff briefings 	
	Liaison processes of minor and routine industrial matters	Destroy 2 years after administrative use is concluded	<ul style="list-style-type: none"> •Daily industrial relations management 	Common practice
	Processing of disciplinary and grievance investigations where proved	Oral Warning – 6 months Written Warning - 1 year Final Warning – 2 years Grievances – 1 year from resolution (incl. exhaustion of Employment Tribunal rights) The above warning to be removed & destroyed after relevant time has been 'spent'. Warnings Involving Children/vulnerable adults – Placed on personal file permanently (for life of HR file)	<ul style="list-style-type: none"> •Disciplinary 	For all practical purposes this function would not be subject to records management, except for Warnings Involving Children/vulnerable adults, which remain on the personal file permanently for reference purposes. (See 29.1.3 & 29.1.4)
	Processing of disciplinary and grievances investigations were unfounded	Destroy immediately after the grievance has been found to be have been unfounded; or after appeal	<ul style="list-style-type: none"> •Disciplinary 	Common practice Employment Services
	Capability	Destroy 12 months after confirmation of satisfactory performance in employment	<ul style="list-style-type: none"> •Notes and associated papers 	Employment Services

6 HUMAN RESOURCES				
Ref	Function Description	Retention Action	Examples of Records	Notes
6.3 Equal Employment Opportunities				
	The process of investigation and reporting on specific cases to ensure that entitlements and obligations are in accordance with agreed Equal Employment Opportunities guidelines policies	Destroy 5 years after action completed		Common practice
6.4 Sickness Records				
	For Attendance management, Health and Safety and OSP/SSP	Destroy 7 years after date of certificate/form. Absence returns -destroy 3 years after date of absence Complex Sickness cases and those involving third party claims -destroy 3 years after date of incident dependent on sensitivity	<ul style="list-style-type: none"> •Certification of absence forms •Self-certification forms •Doctors certificates •Staff absence form/return •Sickness schedules 	Statutory Sick Pay Act 1994
6.5 Recruitment				
	The selection of an individual for an established position	Advertisements , 1 year from advert . Application Forms, Successful candidate , duration of employment in post except where post is temporary. Unsuccessful candidate , 7 mnths from date of appointment.	<ul style="list-style-type: none"> •Advertisements •Application Forms •Referee reports •Interview reports/notes •Unsuccessful applicants •Recruitment complaints •Information on "hold" candidates" 	Sex Discrimination Acts 1975 and 1986. Race Relations Act 1976 Limitations Act 1980 Equalities Act 2010

6 HUMAN RESOURCES				
Ref	Function Description	Retention Action	Examples of Records	Notes
		DBS disclosures , Should retain neither Disclosures nor a record of Disclosure Information contained within them for longer than is required for the particular purpose. In general, this should be no later than twelve months after the date on which recruitment or other relevant decisions have been taken, or after the date on which any dispute about the accuracy of the Disclosure Information has been resolved.	•DBS disclosures	Disclosure and Barring Service Code of Practice.
6.6 Staff Monitoring				
	Performance	Destroy 5 years after action completed for employees in services Ex-Employees retain for 2 years from date of leaving Council. The exception are those working with Children & Vulnerable adults.	<ul style="list-style-type: none"> •Probation reports •Performance plans •Personal Development Review (PDR) 	Common practice
	Process of monitoring staff leave and attendance	Destroy 3 years after action completed Promoting Health at Work information -retain for duration of employment. Statutory payment information retained for 7 years.	<ul style="list-style-type: none"> •Sick leave •Jury service •Study leave •Special and personal leave •Attendance books •Flexitime sheets •Leave applications •Clock on/off cards •Annual leave 	Common practice

6 HUMAN RESOURCES				
Ref	Function Description	Retention Action	Examples of Records	Notes
6.7 Staff Retention				
	Financial reward	Destroy 7 years after action completed		Common practice All records relating to actual payments are dealt with under finance
	Other strategy	Destroy 3 years after action completed		Common practice
6.8 Termination				
	The process of termination of staff through voluntary redundancy, dismissal and retirement	Destroy 7 years after termination If a pension is paid then records should be destroyed 6 years after last payment of pension	<ul style="list-style-type: none"> •Resignation •Redundancy (Section 188) •Dismissal •Death •Retirement 	Common practice
6.9 Training and Development				
	Routine staff training Documentation and Evaluation, not OH, safety or children/vulnerable adults related (excludes records stored on itrent)	Destroy 2 years after action completed General course information/completion stored on itrent - Destroy 7 yrs after termination of Employment	<ul style="list-style-type: none"> •Staff induction •Course Evaluation sheets 	Common practice
	Training (concerning children & vulnerable adults)	Destroy 35 years after training completed, or last entry	<ul style="list-style-type: none"> •Course individual staff assessment •training register 	Common practice
	Training (materials)	Destroy 3 years after course is superseded Including First Aid Fire Safety 5 years after course superseded	<ul style="list-style-type: none"> •Course outlines and materials. Keep an archive. No personal information 	Common practice Risk Management

6 HUMAN RESOURCES				
Ref	Function Description	Retention Action	Examples of Records	Notes
	Training-requests for	Current and 2 previous years	<ul style="list-style-type: none"> •Staff Requests •Managers nomination forms 	Employment Services
	ILM Qualifications, assignments and Mark sheets.	Assignment and mark sheets to be destroyed one year after completion of the qualification	<ul style="list-style-type: none"> •Paper assignments •Electronic records 	Common practice
	Training (proof of completion)	Destroy 7 years after action completed	<ul style="list-style-type: none"> •Certificates •Awards •Exam results 	Common practice
	Training plans	Current and 2 previous years	<ul style="list-style-type: none"> •Staff plans •Training agreements •PCC Appraisal scheme 	Employment Services
6.10 Appointments of Statutory Officers				
	Summary management systems that allow the monitoring and management of statutory officers in summary form	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> •Magistrates register 	Common practice
	The process of administering employees to ensure that entitlements and obligations are in accordance with agreed employment requirements	Destroy 7 years after departure from employment		Common practice

	The appointment of an individual for a statutory position	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> •Appointment Files •Shrievalty •Magistrates •Lord Lieutenant •Tax commissioners •Section 151 	Common practice
	The process of selection of an individual for an	Destroy 1 year after date of appointment	<ul style="list-style-type: none"> •Vacancies & applications records 	Common practice

6 HUMAN RESOURCES				
Ref	Function Description	Retention Action	Examples of Records	Notes
	statutory position		<ul style="list-style-type: none"> •Interview notes •Prospective staff records •Registers of applicants •Unsuccessful applications records 	
6.11 Occupational Health				
	Health Surveillance	Minimum 40 years from date of leaving	•Health surveillance medical notes	Statutory
	First aid at Work training	Keep records for 3 years from date of last training	<ul style="list-style-type: none"> •OH&S training register •Resourcelink 	Best Practice
	Diaries of appointments for Occupational Health Advisers and Medical Officers	Retain for 1 year		Best Practice
	Pre-employment health questionnaires	Retain for 5 years hard copy - electronic copy held on HR file for life of file		Best Practice
	Referral forms, clinical records and OH reports	Retain for 7 years from date of leaving	<ul style="list-style-type: none"> •Ill health retirement •Medical redeployment •Health assessment 	Best Practice
	GP and consultant reports	Retain for 7 years from leaving date		Best Practice
	Admin records pertaining to health screening and surveillance	Retain for 7 years	<ul style="list-style-type: none"> •Health surveillance log sheets •DSE screening records 	Best Practice
	Telephone message book	Retain for 1 year		Best Practice
	Vaccination records	7 years from date of leaving or last immunisation or blood test (old records)	<ul style="list-style-type: none"> •Hep B •Flu vaccine •TB 	Best Practice
	Record of refrigerator	Retain for 1 year		

6 HUMAN RESOURCES				
Ref	Function Description	Retention Action	Examples of Records	Notes
	temperature			
	Counselling case files	7 years from close of case		Best Practice
	Counselling supervision record	Retain for 7 years		Best Practice
	Food handling screening	7 years from leaving date		Best Practice
	DSE screening	7 years from leaving date		Best Practice

7 FINANCIAL MANAGEMENT				
Ref	Function Description	Retention Action	Examples of Records	Notes
7.1 Accounts				
	Accounts	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> •Published Final Accounts •Signed Audited Accounts 	Finance
	Working Papers	Retain for 3 years	<ul style="list-style-type: none"> •Final Accounts working papers 	Finance
	FMIS	Retain for 3 years	<ul style="list-style-type: none"> •FMIS Records 	Finance
	Statutory Accounting Purposes	Permanent. Offer to Archivist	<ul style="list-style-type: none"> •Asset Register •Inventory records 	Finance
	Statistical Returns	Retain for 3 years	<ul style="list-style-type: none"> •Government Statistical Returns •RO & CO Forms 	Finance
	Journals	Retain for 6 years	<ul style="list-style-type: none"> •Journals 	Finance
7.2 Budget Preparation				
	Published Books	Retain for 6 years (Chief Financial Officer only)	<ul style="list-style-type: none"> •Budget Books 	Finance
	Estimates	Retain for 3 years	<ul style="list-style-type: none"> •Detailed Working Papers •Summaries 	Finance
7.3 Expenditure and Income				
	Bank Statements	Retain for 7 years	<ul style="list-style-type: none"> •Bank Statements 	Finance
	Evidence of Banking	Retain for 7 years	<ul style="list-style-type: none"> •evidence of money being banked 	Finance
	Evidence of cash recorded in Council systems	Retain for 7 years	<ul style="list-style-type: none"> •records of cash recorded 	Finance
	Evidence of Postal Payment	Retain for 7 years	<ul style="list-style-type: none"> •records of postal payment 	Finance
	Monies received and receipted	Retain for 7 years from date of payment or receipt Payment Card Transaction receipts-retain for 3 years Direct Debit details-For a "live" account, where new methods of payment are chosen-retain previous details for 6 months Payment (Credit/Debit card) details-for a "live" account retain for 6 months if unused "Closed" accounts where credit card/debit card details are held-dispose of once account is closed	<ul style="list-style-type: none"> •Audit records 	Finance Statutory

7 FINANCIAL MANAGEMENT				
Ref	Function Description	Retention Action	Examples of Records	Notes
	Records of monies paid out and received	Retain for 7 years from date of payment or receipt	<ul style="list-style-type: none"> •Cash Books •Receipt Books & receipts 	Finance
	Cheques	Retain for 3 years from date of issue (Original retained by Bank for 6 months, copies retained by Bank for 6 years)	<ul style="list-style-type: none"> •Cheques drawn on Council bank accounts 	Finance
	Invoice raising	Retain for 7 years	<ul style="list-style-type: none"> •Prime evidence of invoice raising •Microfilm and scanned evidence 	Finance
	Purchase Orders	Retain for 7 years	<ul style="list-style-type: none"> •Purchase Orders •Food orders 	Finance
	Receipt of Invoices	Retain for 7 years	<ul style="list-style-type: none"> •Invoices received •Microfilm & scanned invoices 	Finance
	Evidence of Goods Received	Retain for 3 years	<ul style="list-style-type: none"> •Goods Received Notes •Advice Notes •Delivery Notes 	Finance
	Monies claimed	Retain for 7 years	<ul style="list-style-type: none"> •Expense claims •Allowance claims •Copy receipts •Petty Cash •Logs submitted in respect of multiple claims 	Finance
	Other Categories	Retain for 7 years	<ul style="list-style-type: none"> •Loan and Investment records (after redemption of loan) •VAT, Income Tax and National Insurance Records 	Finance
	Reports issued to and retained by budget holders	For blank reports - Retain only until subsequent month has been distributed to budget holders For completed and returned reports – Once the annual external audit is completed that needs to be retained. Retain only the last forecast submitted (normally period 10 or 11) and the outturn period 13	<ul style="list-style-type: none"> •Blank reports (those sent monthly to budget holders) •Completed and returned reports 	Finance

7 FINANCIAL MANAGEMENT				
Ref	Function Description	Retention Action	Examples of Records	Notes
		(which is not a submitted forecast) for 1 year .		
7.4 Stores				
	Records	Retain for 3 years	•Stores records	Finance
	Stores Notes	Retain for 3 years	•Issue Notes •Requisition Notes •Requisition Books-completed	Finance
7.5 Other Finance Records				
	Contracts	Retain for 16 years	•Contracts •Agreements	Statutory Finance
	Court Cases	Retain for 6 years	•Papers	Finance
	Deeds	Permanent. Offer to Archivist	•Land Deeds •Property Deeds	Finance
	Insurance	Retain for 6 years	•Insurance Records	Finance
	Internal Audit	Until next full audit review	•Internal Audit Files	Finance
	Land & Property Documents	Permanent. Offer to Archivist	•Land Rental Documents •Property Rental Documents •Property Valuation Lists •Purchase of Property Register •Sale of Property Register	Finance
	Standing Orders	Permanent. Offer to Archivist	•Standing Orders	Finance
	Regulations	Permanent. Offer to Archivist	•Financial Regulations	Finance
	European Structural Fund (ESF) & European Regional Development Fund (ERDF) Grant-funded cost centres	Retain for 12 years from completion of the project.	•All documents and files, including original invoices	Finance
	Grant Claims	Retain for 7 years or as required by grant-awarding body	•All documents and files, including original invoices	Finance
	Private Finance Initiative (PFI)	Retain for 12 years from completion of the project.	•Outline Business Case •Working papers	Finance

7 FINANCIAL MANAGEMENT				
Ref	Function Description	Retention Action	Examples of Records	Notes
			•Financial models	
	Regeneration schemes and Public Private Partnerships	Retain for 12 years from completion of the project.	<ul style="list-style-type: none"> •Working papers •Financial models •Business cases 	Finance

8 PROPERTY AND LAND MANAGEMENT				
Ref	Function Description	Retention Action	Examples of Records	Notes
8.1 Property Acquisition and Disposal				
	Management of the acquisition (by financial lease or purchase) process for real property (see also 21.1.0)	Retain for duration of Council's legal interest or life of property or building plus 12 years. Offer material re All properties to Archivist for review	<ul style="list-style-type: none"> •Plans •Title Deeds 	Common practice
	Management of the disposal (by sale or write off) process for real property	Destroy 15 years after all obligations/entitlements are concluded. Offer material re All properties to Archivist for review	<ul style="list-style-type: none"> •Legal documents relating to the sale •Particulars of sale documents •Board of Survey •Tender documents •Conditions of contracts 	Common practice
8.2 Property Development and Renovation				
	The process of managing and undertaking renovations and development of property	Retain for 7 years		
	Management: buildings and estates of "special interest."	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> •Project specifications •Plans •Installation manuals •Certificates of approval 	Common practice
	Management: all other buildings and estates	Retain for duration of Council's legal interest or life of property or building plus 12 years	<ul style="list-style-type: none"> •Project specifications •Plans •Installation manuals •Certificates of approval 	Common practice. For asbestos see health and safety under General Public Services
	The action process involved in the development and	Destroy 15 years after the conclusion of the transaction that the record supports	<ul style="list-style-type: none"> •Work orders •Tender documents •Conditions of contracts 	Common practice

8 PROPERTY AND LAND MANAGEMENT				
Ref	Function Description	Retention Action	Examples of Records	Notes
	renovation of property			
8.3 Leasing and Occupancy				
	The process of managing leased property	Destroy 15 years after the expiry of the lease. Tenancy records only need to be kept for 6 years after expiry.	<ul style="list-style-type: none"> •Lease agreements •Rental expenditure authorities •Valuation queries •Applications for leases, licences & rental revision 	Common practice
	The process of managing the occupancy of property	Destroy 7 years after the conclusion of the transaction that the record supports. Tenancy records only need to be kept for 6 years after expiry.	<ul style="list-style-type: none"> •Requests for works, cleaning, etc. 	Common practice
8.4 Housing Provision				
	The process of managing local Council welfare housing estates	Destroy 4 years after last action	<ul style="list-style-type: none"> •Stock monitoring records 	Common practice
8.5 Systems Management				
	The internal process to develop or extend the capabilities of a system used to support the activities of the local Council	Retain for life of system then destroy		
	The process to implement a system used to support the activities of the local Council	Destroy 7 years after last action	<ul style="list-style-type: none"> •Implementation plan 	
	A corporate IT system used to support the activities of the local Council	Destroy 3 years after last action	Online customer portal/Account	

8 PROPERTY AND LAND MANAGEMENT				
Ref	Function Description	Retention Action	Examples of Records	Notes
8.6 Transport Management				
	The process of acquisition and disposal of vehicles through lease or purchase.	Destroy 7 years after the disposal of the vehicle	<ul style="list-style-type: none"> •Leases •Contracts •Quotes •Approvals •Fleet authorisation numbers 	
	The process of managing allocation & maintenance of vehicles	Destroy 7 years after the sale or disposal of the vehicle	<ul style="list-style-type: none"> •Approvals as drivers •Allocations & authorisations for vehicles •Maintenance 	
	The process of recording vehicle usage	Destroy 3 years after the sale or disposal of the vehicle	<ul style="list-style-type: none"> • Vehicle usage reports 	
	The process of recording drivers usage	Destroy 7 years after closure	<ul style="list-style-type: none"> •Vehicle log book 	
8.7 Insurance - Policy Management				
	The summary management of insurance arrangements	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded.	<ul style="list-style-type: none"> •Insurance register 	
	The process of insuring local Council officers, property, vehicles and equipment against negligence, loss or damage	Destroy 40 years after the terms of the policy have expired	<ul style="list-style-type: none"> •Insurance policies •Correspondence 	Risk Management
	The process of renewing insurance policies	Destroy 7 years after the insurance policy has been renewed	<ul style="list-style-type: none"> • Insurance policy Renewal records • Correspondence 	Risk Management
8.8 Insurance - Claims Management				
	The process that records insurance claims against the local Council or local Council officers	Destroy 11 years after all obligations/entitlements are concluded (allowing for the claimant to reach 25 years of age)	<ul style="list-style-type: none"> •Claims records •Correspondence 	Risk Management

9 GENERAL PUBLIC SERVICES				
Ref	Function Description	Retention Action	Examples of Records	Notes
9.1 Health and Safety				
	Process of inspecting equipment to ensure it is safe	Destroy 7 Years from disposal of the equipment	• Equipment inspection records	Statutory
	Process of carrying out monitoring to ensure that processes are safe	Destroy 6 Years from last action	• Monitoring results • Health & Safety Inspection reports	Statutory
	Process of monitoring of areas where employees and persons are likely to have become in contact with asbestos	Destroy 5 Years from last action Health Surveillance records -destroy 40 years from last action	• Property asbestos files	Control of Asbestos at Work Regulations 1987 and 2002
	Closed Circuit Television systems, footage and related materials	Destroy 31 days after footage/images are recorded- unless footage/images have been requested for another use.	• CCTV footage • CCTV still images	
	Accident & Incident Records	(Retain <u>both</u> paper copy and electronic version) a. Retain for 6 years b. Retain for 6 years c. Retain for 25 years from DOB d. As relevant to above group e. Retain for 40 years	a. Incident report forms – employees b. Incident report forms – members of the public (adults) c. Incident report forms – members of the public (children) d. Investigation of work-related ill health cases by Safety Adviser e. Individual's accidental exposure to radiation or Asbestos	Where the documents relate to identifiable individuals, the period of retention is absolute. Therefore they should not be disposed of prior to this period., and should only be exceeded

9 GENERAL PUBLIC SERVICES				
Ref	Function Description	Retention Action	Examples of Records	Notes
				<p>where there is a justifiable reason.</p> <p>Where documents relate to non-identifiable individuals, the periods stated here are the minimum recommended, but sections are at liberty to retain these longer if they wish.</p>
	Risk Assessments	<ul style="list-style-type: none"> a. Retain for 6 years (minimum retention period) b. Retain for 6 years (minimum retention period) c. Old RAs to be kept at least 6 years after new RA carried out (minimum retention period) d. Old RAs to be kept at least 6 years after new RA carried out (minimum retention period) e. Old RAs to be kept at least 6 years after new RA carried out (minimum retention period) f. Length of employment, plus 6 years g. Retain for 6 years (minimum retention period) h. Retain for 6 years (minimum retention period) 	<ul style="list-style-type: none"> a. COSHH substance risk assessments b. DSE risk assessments c. Asbestos risk assessments (of tasks and activities where exposure exceeds action level – incidents of exposure is listed above) d. Noise risk assessments/ surveys e. Vibration risk assessments/ surveys f. Personal/individual stress risk assessments 	<p>Control of Substances Hazardous to Health Regulations 1999</p> <p>Control of Asbestos at Work Regulations 1987 and 2002</p>

9 GENERAL PUBLIC SERVICES				
Ref	Function Description	Retention Action	Examples of Records	Notes
			(individual Risk Assessments for identifiable LCC employees) g. Collective/team based stress risk assessments h. Other risk assessments not specifically listed above, that do not contain personal sensitive data.	
	Monitoring and Equipment	a. Retain for 6 years (minimum retention period) b. Retain for 6 years (minimum retention period) c. Retain for 6 years (minimum retention period) d. Retain for 6 years (minimum retention period) e. Retain for 6 years (minimum retention period)	a. H&S monitoring (i.e. audit and inspection records) by safety advisers b. Plant/equipment inspection records c. Portable electrical equipment test records d. Fixed electrical inspection test records e. Written procedures/safe systems of work (other than asbestos etc.)	Statutory
	Food Safety	Cook/chill orders and comment sheets – retain for 3 years from date of order. Chiller graphs-retain for 3 months from reading. Fridge/chiller/freezer readings-retain for 3 months from reading.	• Food preparation records	
9.2 Emergency Planning				
	Process to develop the emergency/disaster plan for the local community	Permanent. Offer to Archivist for review. Transfer to place of deposit after superseded	• Major Incident Plan	

9 GENERAL PUBLIC SERVICES				
Ref	Function Description	Retention Action	Examples of Records	Notes
	Process of recording the results of the test for emergency/disaster plan for the local community	Destroy 10 years after closure		
9.3 Major Incident				
	Activities that report on all major incidents in the local community, whether the emergency plan has been invoked or not	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded		
	Activities that report on all minor incidents in the local community	Destroy 7 years after closure		
9.4 Certification and Licensing				
	Summary management systems that allow the monitoring & management of registration, certification and licences registration requirements in summary form	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded	• Visual impairment register	Common practice
	The administration of applications, registration, certification and licences in relation to local authorities' registration requirements	Destroy 2 years after registration or entitlement lapses Taxi driver Licensing: New Applicants- Retain for 5 years from date application is accepted Existing Licensees- Retain for 5 years from date last license expired	<ul style="list-style-type: none"> • Applications for registration of a business premises • Registers • Certificates of registration of: • Door supervisors • Taxi drivers • Beauty therapists • Gaming • Fire certification • Disabled Parking permits • Blue badge • Registration to sell poison 	<u>Statutory</u> Note: may want archival review in cases of licensing of children in entertainment

9 GENERAL PUBLIC SERVICES				
Ref	Function Description	Retention Action	Examples of Records	Notes
	ANIMAL HEALTH & WELFARE RETENTION	3 rolling years [LA's no longer responsible - all remaining licences to be destroyed by April 2018]	Animal Movement Licence - Sheep (AML1)	The Sheep and Goats (Records, Identification and Movement)(Wales) Order
		Expiry 6 years	Animal Gathering Licence Trainer and exhibitor of performing animals licence	
		Expiry + 1 year	Bovine TB restrictions, Removals, licences.	Issued by AHVLA - copy sent to us / Best Practice
		End of Outbreak + 6 years	Animal Disease Outbreak Management - major incidents	
		End of Outbreak + 3 years	Animal Disease Outbreak - Licences Issued	
		3 rolling years	Record of AH Inspections	

		3 rolling years	Miscellaneous Animal Licences	
		3 rolling years	Breach of standstill records	The Disease Control Order 2003 / Best Practice
		FSA guidance 6 yrs.	Record of Feed Inspections	
		Duration of enforcing legislation	Isolation Unit Approvals	The Disease Control Order 2003
		Length of activity	Animal Feed Approval/Registration	EC Feed Hygiene Regulations 2005 / Best

	The process involved in licensing sites for the holding or use of toxic or hazardous substances. (Petrol, agricultural chemical products or herbicides etc.)	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded - 60 years after registration or entitlement lapses	<ul style="list-style-type: none"> • Diesel licences • Petroleum licences • Health and safety licensing • Hazardous substances • Contaminated land register/pollution 	Common practice
	The process of registration of homes or carers for the care and support of children, in the responsibility of the local Council	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded - 25 years from closure of centre, or discontinuation of care The responsibility of OFSTED from 1 st April 2002 For retention of files on individual childminders/day care establishments see entry in section 3 Differs from RMS document which cites "child carers files" and "organisation files" as records falling within this category and requiring permanent retention.	<ul style="list-style-type: none"> • Organisation files • Child carers files • Childcare registration • Day care registration • Children's home 	Common practice
	Process of registration of the Council's own operational social care establishments	Permanent. Offer to Archivist	<ul style="list-style-type: none"> • Children's home registration • Elderly Person's Home registration 	Common practice
	The administration of the Blue Badge Disabled Parking Scheme	Applications relating to an issued badge are destroyed: <ul style="list-style-type: none"> • as soon as an application for a replacement badge is received • upon return of badge to PCC following death of holder 		Statutory: Chronically Sick and Disabled Persons Act 1970 (c44)

9 GENERAL PUBLIC SERVICES				
Ref	Function Description	Retention Action	Examples of Records	Notes
		Rejected applications - retained for 12 months Applications relating to expired badges where no application for replacement badge has been received – destroy at end of financial year during which badge expired		Section 1
9.5 Notification				
	The process of issuing notices to citizens with respect to particular responsibilities	Destroy 2 years after the matter is concluded	<ul style="list-style-type: none"> • Fire Prevention notices • Fire Prevention Infringement notices • Objections to notices • Appeals against notices • Registration of premises Infringement notices • Animal Impounding notices 	Common practice
9.6 Investigation, Inspection and Monitoring				
	The process of investigation, monitoring or inspection laws in the responsibility of the local Council	Destroy 7 years from last action.	<ul style="list-style-type: none"> • Trading standards sample and inspections records • Fire certificate compliance inspections 	Common practice
9.7 Prosecution				
	The process of prosecution or sanction of an individual or organisation for failing to comply with their legal responsibilities	Destroy 7 years from last action.	<ul style="list-style-type: none"> • Prosecution/sanction files 	Common practice
9.8 Streetcare & Parking				
	The process of administering and enforcing bye-laws	Destroy after 3 months Destroy after 12 months Destroy after 3 months Destroy after 3 months Destroy after 12 months	<ul style="list-style-type: none"> • Dispensations • Car park Permits • Parking Passport Permits • Visitor Permits • Residential Permits 	PCC practice

9 GENERAL PUBLIC SERVICES				
Ref	Function Description	Retention Action	Examples of Records	Notes
9.9 Cemeteries & Crematoria				
	Summary management systems that record the location of burials and identity of deceased individuals	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Register of interments • Cemetery register • Cemetery plans 	Common practice
	The process of regulation of burials and cremations	Destroy 5 years after last action	<ul style="list-style-type: none"> • Permits • Applications • Orders 	Common practice
			•	
			•	
			•	
9.10 Waste Management				
	The provision of hard waste removal, disposal and waste reduction services by the local Council to ratepayers	The provision of hard waste removal, disposal and waste reduction services by the local Council to ratepayers	<ul style="list-style-type: none"> • Weight ticket waste • Transfer notes kept 	Statutory Duty
9.11 Waste Collection				
	The process of arranging the collection or transportation of household waste	Destroy 2 years after last action		Common practice

	The process of arranging the collection or transportation of controlled waste	Destroy 7 years after last action	<ul style="list-style-type: none"> • Tip tickets • Duty Care Information 	Common practice. Statutory Duty.
9.12 Disposal of Waste				
	The summary management of sites used for the disposal of waste within the local Council	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded		Common practice. Statutory Duty.
	The process of the short-term storage of household waste	Destroy 10 years after site closure	<ul style="list-style-type: none"> • Transfer sites 	Common practice
	The process involved in managing the use, type and amount of waste to be disposed at a specific site	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Waste site plans 	Common practice
			<ul style="list-style-type: none"> • 	
			<ul style="list-style-type: none"> • 	

10 PLANNING AND LAND USE				
Ref	Function Description	Retention Action	Examples of Records	Notes
10.1 Planning Scheme Development and Amendment				
	The activity of developing a vision and strategic directions regarding existing and future land use within the Council and the development of local and town centre plans to ensure the implementation of the Local Development Framework	Permanent. Offer to Archivist when plan superseded	<ul style="list-style-type: none"> • Structure Plan • Local Plan • Town Centre plans • Unitary • Development plans 	Common practice
	The activity of consultation to gain approval for the Structure Plan (Unitary Development Plans) or Local Plans	Permanent. Offer to Archivist for review 3 years from date of adoption.	<ul style="list-style-type: none"> • Consultation documents and replies • Inquiries and objections made by members of public • Public Inquiry documents 	Common practice
	The activity of recording information on historical buildings, monuments and ecology at a specific site	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Historic Environment Record (HER) which includes archaeological sites and monuments, listed and locally listed buildings, historic landscapes, scheduled monuments, registered parks and gardens, conservation areas. Definitive map. Assets of Community Value. 	Common practice. National Planning Policy Framework, Localism Act.

10 PLANNING AND LAND USE

Ref	Function Description	Retention Action	Examples of Records	Notes
	The activity of establishing planning scheme controls and providing for them to be amended	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Successful Waste Planning application • Successful Mineral Planning applications • Amendments to definitive map • Mineral Register • Applications for mineral extraction • Land Use surveys 	Common practice
	The process of receiving, considering and responding to submissions and objections to planning schemes and amendments	Destroy 15 years after decision. Offer controversial/high profile schemes to Archivist	<ul style="list-style-type: none"> • Waste & Mineral Planning application consultation • National Park applications consultation • Objections • Inquiries – Public etc • Archaeological: advice/conditions 	Common practice
	The process of controlling development of areas through applications for planning permission	Permanent retention	<ul style="list-style-type: none"> • Planning application files and plans • Correspondence relating to any objections • Hearing papers • Planning application register 	Common practice
	The process of maintaining the countryside and developing open spaces for public amenity	Tree preservation orders. Permanent-offer to archivist. Refer all files relating to policy to the Archivist Destroy other files 7 years after administrative use concluded	<ul style="list-style-type: none"> • Tree preservation orders • Country parks and nature reserves development plans and correspondence, land purchase agreements 	Common practice

10 PLANNING AND LAND USE				
Ref	Function Description	Retention Action	Examples of Records	Notes
10.2 Planning Scheme Regulation				
	The summary management of planning scheme regulation	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	• Building Control registers	Common practice
	The process of regulating the planned use of land or buildings	Destroy 15 years after closure		Common practice
	The process of approving building applications in relation to listed or other significant buildings	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded.	<ul style="list-style-type: none"> • Building files • Plans • Specifications • Correspondence • Applications • Permits • Certificates 	Common practice
	The process of approving building applications, for all other buildings	Destroy 15 years after construction completed.	<ul style="list-style-type: none"> • Building files • Plans • Specifications • Correspondence • Applications • Permits • Certificates • Objections 	Common practice
	The process of inspecting building work for the purpose of insuring compliance.	Destroy 10 years after the issue of a certificate of final inspection.	<ul style="list-style-type: none"> • Certificate of final inspection • Building Inspection records • Diaries 	Common practice
	The process of enforcing building or land regulations	Destroy 3 years after compliance with enforcement notice		

11 INFRASTRUCTURE AND TRANSPORT				
Ref	Function Description	Retention Action	Examples of Records	Notes
11.1 Planning and Development				
	The activity of developing a vision and strategic directions regarding existing transport and infrastructure within the municipality	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Structure Plan • Local transport plan 	Common practice
	The activity of recording location of highways, bridle paths and rights of way	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded Right-of-way diversion (not enacted) – retain for 6 years from decision. Correspondence with developers advising on proximity of public footpaths, Traffic Regulation Orders, Maintainable highways to proposed development sites-Retain for 10 years from date of correspondence.	<ul style="list-style-type: none"> • Definitive map • Correspondence concerning enquiries and disputes • Public Path Extinguishment orders • Right-of-way/Public path diversion orders (enacted) 	Common practice
	The activity of establishing planning scheme controls and providing for them to be amended and modified	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Amendments to definitive map • Road adoption 	Common practice
	The process of receiving, considering and responding to submissions and objections to planning schemes and amendments	Destroy 7 years after decision. Offer controversial/high profile schemes to Archivist.	<ul style="list-style-type: none"> • Enquiries, consultation documents, objections and correspondence • Advertisement appeals 	Common practice
	The process of enforcing infrastructure and transport regulations	Destroy 50 years after enforcement notice. Destroy 3 years after compliance with enforcement notice.		Common practice

11 INFRASTRUCTURE AND TRANSPORT				
Ref	Function Description	Retention Action	Examples of Records	Notes
11.2 Traffic Management				
	The activity of planning, and programming the continued flow, diversion or reduction of traffic	Destroy 7 years after action completed Road Scheme Safety Audit-Permanent. Offer to Archivist	<ul style="list-style-type: none"> • Traffic orders • Temporary Traffic Arrangements-Road Space Booking Forms 	Common practice Highway Services
11.3 Design and Construction				
	The activity of planning, designing, programming and constructing roads, streets, bridges, and tunnels	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded		Common practice
11.4 Infrastructure Management and Maintenance				
	The activity of providing municipal services in relation to infrastructure within the local Council	Destroy 7 years after last action	<ul style="list-style-type: none"> • Street files • Street records • Requests for: <ul style="list-style-type: none"> • Hedge clipping • Tree planting • Naming of streets • Numbering of houses • Installation of Road markings • Street load limits • Street signs • Bus shelters • Applications to dig up pavements • HGV application • Level crossings • Right of ways • Roundabouts • Traffic calming measures • Street lighting 	Common practice

11 INFRASTRUCTURE AND TRANSPORT				
Ref	Function Description	Retention Action	Examples of Records	Notes
11.5 Road Maintenance				
	The activity of maintaining and repairing roads, streets, bridges, bridle paths, rights of way and tunnels	Destroy 12 years after action completed Bridge replacement/maintenance works-Retain for life of bridge + 12 years		Common practice
11.6 Public Transport				
	The activities involved in the management and provision of public transport	Destroy 3 years after superseded or last action.	<ul style="list-style-type: none"> • Timetables and routes • Maps • Fares • Customer and industry liaison 	Common practice

APPENDIX A: WEEDING OR FILE STRIPPING GUIDANCE

At different times all data outlives its life and becomes incorrect and must be deleted. Disposal is also known as “weeding” or “file stripping”.

The Council must be able to identify the parts of information held in its records that are a permanent part of the record and those transitory parts that can therefore be discarded. This involves retaining some records, partial disposal of some and complete disposal of others.

THE WEEDING PROCESS

Directorates must consider the following when weeding/file stripping data:

- Directorates must set aside a reasonable period to review their files. This will depend on the size of files, the frequency with which data changes, and legal requirements;
- Directorates must refer to the Council’s Retention and Disposal Policy when considering what to delete, and when. They must also ensure that all their record-types are listed in the standards, to ensure consistency of use and records management practice;
- Directorates must ensure that their systems can tell them which files are ready for review or disposal (and perhaps those files that could be sent elsewhere for archiving);
- Directorates must keep an index system for manual, usually paper, records. It is vital to ensure that the index is kept up to date, or it will soon become out of date, and will lead to mistakes being made;
- For computer files, Directorates must be able to add disposal and review dates to file entries, and run a yearly (or quarterly) search for all records that have disposal/review dates that have already passed. Directorates must adopt electronic records management applications that can undertake this task with regard to electronic records, setting disposal dates for record types as appropriate.

APPENDIX B: DATA DISPOSAL GUIDANCE

TOOLS TO USE

Where, after due consideration, it has been decided to permanently destroy data that is no longer required, then the following general principles should be applied:

- Paper files containing personal information should be disposed of in Confidential waste bags;
- Fax cartridge film and similar consumable waste should be shredded;
- To permanently clean or delete moderately sensitive data from reusable media including computer hard discs and floppy discs, the use of a reliable 'electronic shredding' tool should be employed please speak to IT;
- Where a computer has become unserviceable and is to be discarded but may still contain sensitive data on its hard disk, a designated officer should remove the hard disc unit from the computer prior to the equipment's disposal, IT will arrange disposal;
- Where the affected hard disk is confirmed as unserviceable and is to be discarded, then it should be made permanently unusable by physical disposal
- Where non-rewritable media is to be discarded, then it should be made unusable. For example, CD-ROMS may be heavily scratched on their recorded face with an abrasive material and the disk then broken into parts. Please note here that care must be taken to avoid personal injury;
- The use of commercial contractors providing specialist disposal services may also be appropriate. Please speak to IT or Records Management Unit for further [info.](#)

APPENDIX C: TRANSFER OF RECORDS TO ARCHIVAL STORAGE

Anyone wishing to transfer permanent records to archival custody should contact the Local Archives, located in the Pembrokeshire Archives, Prendergast, Haverfordwest Always consider the following when transferring records:

- The Data Protection Act 1998 & GDPR allows information about identifiable living individuals to be held indefinitely for research, statistical or historical purposes provided specific requirements are met. This needs to be identified when transferring records to the Archivist. Use of a data exchange agreement is recommended.
- Records identified in the Retention & Disposal Standards as 'permanent' are marked 'Offer to Archivist'. If the Archivist decides to select a sample of the records for preservation in the archives, the remainder should be destroyed as specified;
- 'Offer to Archivist for review' is used to indicate records where the Archivist will not usually be interested in retaining the class of records, but may wish to retain those concerning high profile or controversial policies/projects;
- Records no longer required for administrative use may still retain sensitive information. The Archivist should be informed of the information's sensitivity when it is transferred to the archives and an appropriate closure period agreed. The closure period should comply with all appropriate legislation and the Council's policy.

APPENDIX D: STANDARD OPERATING PROCEDURE (SOP) GUIDANCE

Some records do not need to be kept at all. Standard Operating Procedure defines information that should be routinely disposed of in the course of business. It includes:

- 'With compliments' slips;
- Catalogues and trade journals;
- Telephone message slips;
- Non-acceptance of invitations;
- Personal electronic records stored on corporate networks or computer hard drives;
- Electronic copies of documents where a hard copy has been printed and filed;
- Email messages or notes that are not related to Council business;
- Thermal paper facsimiles, after making and filing a photocopy;
- Requests for stock information such as maps, plans or advertising material;
- Out-of-date distribution lists; and
- Working papers that lead to a final report

Duplicated and superseded material such as stationery, manuals, drafts, forms, address books and reference copies of annual reports must be destroyed under SOP.

This policy covers both electronic and hard copy records. Special care should be paid to ensuring electronic systems adequately meet requirements for:

- Deleting electronic records, especially if held on archive or long term back-up media; and
- Recovering electronic records from archive or long-term back-up media, regardless of technological change that has occurred since the records were saved.

APPENDIX E: EXPLANATION OF RETENTION STANDARDS HEADINGS

The Retention and Disposal Standards are divided into sections that are intended to reflect administrative functions of the Council.

Reference number

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

Function

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

Function Description

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

Retention Action

The status of each process is defined here. These are either permanent or temporary. Where information does not fall within "Examples of records" in terms of generic retention periods, it is listed here.

Examples of Records

This section provides common examples of the type of records included within the particular function.

Notes & Information Custodian

Indicates if the retention action is common practice, based upon official guidance or statutory requirements or similar. Also identifies which Directorate Officer "owns" (is ultimately responsible for) the information.

APPENDIX F: CERTIFICATE OF DISPOSAL OF RECORDS

DESTRUCTION OF RECORDS



Directorate	Team or Service	Date
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Details of Records for Disposal

File or box ref	Document, Folder or File Series Title (ideally include 'customer' & year)	Consignment number	Date Due for Disposal (End of retention period)

Declaration

I confirm the (sets of) records listed above have reached their date due for disposal and I approve the disposal of these records.

Signed _____ Print name _____

Date _____ Designation _____

RMU I certify that these records have been destroyed today

Print name _____

Date _____ Designation _____

APPENDIX G: EMAIL RETENTION GUIDANCE

Managing e-mail messages

E-mail is the most common form of communication in the Council for transmitting information either within the body of a message or as an attachment. E-mail messages should always be treated as potential corporate records of the organisation.

What e-mails should be saved?

It is useful to hold some e-mails for a short period of time if two or more interconnected discussions are occurring at the same time. However once that correspondence is complete, the e-mail messages need to be either saved to a safe and secure environment or deleted. In general, e-mails should be saved if the message:

- Forms part of an audit trail of business decisions or actions; or
- Provides approval to take action in relation to a business matter; or
- Holds information that is not available elsewhere; or
- Evidences dealings with the public, our stakeholders or others.

Any Council e-mail messages with this type of content should be regarded as corporate information and treated accordingly. Any other e-mails not required as an official record, should be deleted as soon as possible.

Who should save e-mail messages?

There are some basic rules for saving e-mail messages:

- The sender of an e-mail message should save the message. This ensures that the chain of correspondence will be retained;
- The recipient of an e-mail message sent from outside the department should save the message. The external email message may be the first link in an audit or evidential trail that needs to be preserved.

Disposal of Email messages

When considering disposal of email messages, consider the following:

- The recipients of an e-mail message into which they are copied do not need to save the message as the sender will save the original;
- Emails should be handled as per other information listed in the Council's retention schedules, they should be treated as evidence of the Council's activities and either retained or disposed of according to the retention periods that apply to their type of record.

DOCUMENT HISTORY

Version History

Version	Status	Date	Author	Comments
1.0	Final	05/1/2016	Sarah Bevan	Initial document
1.1	Revised	15/3/2018	Sarah Bevan	Added Animal Health info
1.2	Revised	16/5/18	Sarah Bevan	Amended Streetcare & parking
1.3	Revised			
1.4	Revised			
1.5	Revised			
1.6	Revised			
1.7	Revised			
1.8	Revised			
1.9	Revised			

Initial Review

Name	Role	Business Area
Sarah Bevan	Records Management Officer	Information Governance

Distribution

Name	Directorate	Format
All	All	Electronic via Intranet

