



Vale of Glamorgan Council

Retention Schedule

The Vale of Glamorgan Council Retention Schedule has been based on the model “Retention Guidelines for Local Authorities” as produced by the Local Government Group of The Records Management Society of Great Britain (version 2003.1) and endorsed by the Keeper of Records at the National Archives.

The purpose of the schedule is to provide guidance on the necessary retention period records are to be retained after their administrative use is concluded. This schedule applies to both paper based and electronic records.

The schedule should not be seen as a static document and shall change as circumstance dictates. The responsibility of ensuring that the information within is current lies with the Information Manager.

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RETENTION GUIDELINES

LGG of RMS of GB – Local Government Group of the Records Management Society of Great Britain

DEMOCRATIC PROCESSES				
Ref no.	Function Description	Retention Action	Examples of Records	Notes
Elections - Preparation				
1.1	Summary certification of those eligible to vote	Permanent. Offer to Archivist – after administrative use is concluded	Electoral Register	LGG of RMS of GB
1.2	Voting (Local elections only)	Destroy 6 months from close of poll	Ballot papers	Statutory
Elections - Results				
1.3	Declaration of results (local elections only)	Destroy 6 months from date of election	Consolidated returns of votes received	Statutory
Council and Committee Meetings				
1.4	The process of preparing business for Council consideration and making the record of discussion, debate and resolutions	Permanent – Retain for 6 years from the date of the meeting thereafter (upon the next appropriate transfer to the GRO) offer to the archivist for permanent retention	<ul style="list-style-type: none"> • Council Minutes • Council agendas and business papers • Council notice papers and proceedings • Indexes • Committee Minutes • Register of delegations to Special Committees 	LGG of RMS of GB
1.5	Minute taking	Destroy after date of confirmation of minutes	<ul style="list-style-type: none"> • Draft/rough minutes • Audio tapes 	LGG of RMS of GB
Partnership, Agency and external meetings				
1.6	The process of preparing business for partnership and agencies consideration and making the record of discussion, debate and resolutions, where the local authority legally OWNS the record	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 	LGG of RMS of GB
1.7	The process of preparing business for external committees' consideration and making the record of discussion, debate and resolutions, where the local authority legally 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 	LGG of RMS of GB
Honours and Submissions				
1.8	The process of preparing of honours submission	Destroy 5 years after last action	<ul style="list-style-type: none"> • Honours nomination form • Covering documentation • Letters of support • Referral for comment from Lord Lieutenant 	LGG of RMS of GB

Ref no.	Function Description	Retention Action	Examples of Records	Notes
Political Parties Papers				
1.9	The process of undertaking representation of the local authority – local authority representatives	Destroy 3 years after last action	<ul style="list-style-type: none"> • Leader of opposition papers • Leader of council papers 	LGG of RMS of GB

MANAGEMENT AND ADMINISTRATION				
Ref no.	Function Description	Retention Action	Examples of Records	Notes
Corporate Planning and Reporting				
2.1	The corporate planning and reporting activities of local authorities	Permanent. Offer to Archivist – transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Corporate Plan • Community Strategy • Business Plans • Improvement Plan 	LGG of RMS of GB
2.2	The process of preparing business for strategic consideration and making the record of discussion, debate and resolutions	Permanent. Offer to Archivist – transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Strategic management team minutes 	LGG of RMS of GB
2.3	The process of preparing business for cross departmental consideration and making the record of discussion, debate and resolutions	Destroy 3 years from closure		LGG of RMS of GB
2.4	The process of preparing business for Unit / Team consideration and making the record of discussion, debate and resolutions	Destroy 3 years from closure		LGG of RMS of GB
2.5	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 	LGG of RMS of GB
Policy, Procedures, Strategy and Structure				
2.6	Activities that develop policies, procedures, strategies and structures for the local authorities	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 	LGG of RMS of GB
2.7	The process of monitoring and reviewing strategic plans, policies or procedures to assess their compliance with guidelines	Destroy 5 years from closure		LGG of RMS of GB
Public Consultation				
2.8	The process of consulting the public and staff in the development of significant policies of the local authority	Destroy 5 years from closure	<ul style="list-style-type: none"> • Consultation Strategy 	LGG of RMS of GB
2.9	The process of consulting the public and staff in the development of policies of the local authority	Destroy 1 year from closure	<ul style="list-style-type: none"> • Consultation Reports 	LGG of RMS of GB

Ref no.	Function Description	Retention Action	Examples of Records	Notes
Information Management				
2.10	The activity whereby standards, authorities, restraints and verifications are introduced and maintained to manage information effectively	Permanent. Offer to Archivist for review – transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Classification schemes • Registers • Indexes • Authorised lists of file headings 	LGG of RMS of GB
2.11	The management of collection 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 	LGG of RMS of GB
2.12	The process that records the disposal of records	Destroy 12 years after last action	<ul style="list-style-type: none"> • Disposal certificates 	LGG of RMS of GB
Enquiries and Complaints				
2.13	The management in summary form of enquiries and complaints directed to the 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 	LGG of RMS of GB
2.14	The management of enquiries, submissions and complaints which result in significant changes to policy or procedures	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Reports • Returns • correspondence 	LGG of RMS of GB
2.15	Detailed responses on complaints	Destroy 6 years after administrative use is concluded	<ul style="list-style-type: none"> • Reports • Returns • Correspondence • Ombudsman 	LGG of RMS of GB
2.16	The management of routine responses on council actions, policy or procedures	Destroy 2 years after administrative use is concluded	<ul style="list-style-type: none"> • printed material • form letters 	LGG of RMS of GB
Quality and performance management				
2.17	The process of monitoring and reviewing the quality, efficiency or performance of a local authority service or unit	Destroy 5 years from closure	<ul style="list-style-type: none"> • Best Value Review • Inspection Reports • Management Information Reports • Reports on Funding Initiatives 	LGG of RMS of GB
2.18	The process of assessing the quality, efficiency or performance of a local authority service or unit	Destroy 2 years from closure	<ul style="list-style-type: none"> • Review Methodology • Assessment form • Service standards / specifications 	LGG of RMS of GB
Public Relations - Publications				
2.19	Code of Practice under which the council operates	Destroy 5 years from closure Note: One copy of the initial print run should go directly to the archive	<ul style="list-style-type: none"> • Code of Practice 	Vale of Glamorgan Council
2.20	The published work of the corporate organisation	Destroy after administrative use is concluded. Note: One copy of the initial print run should go directly to the archive	<ul style="list-style-type: none"> • Leaflets • Booklets 	LGG of RMS of GB

Ref no.	Function Description	Retention Action	Examples of Records	Notes
Public Relations - Media Relations				
2.21	External Communications Strategy	Destroy 3 years after administrative use is concluded		Vale of Glamorgan Council
2.22	Media publications concerning local authorities	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Press cuttings • Media Reports 	LGG of RMS of GB
Public Relations - Marketing				
2.23	The process of developing and promotion of local authorities campaigns and events	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded		LGG of RMS of GB
Civic and Royal Events				
2.24	The recording of ceremonial events and civic occasions	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Visitor's book • Audio tapes • Video tapes • photographs 	LGG of RMS of GB
2.25	The process of organising a ceremonial event or civic occasions	Destroy 7 year after administrative use is concluded		LGG of RMS of GB

CLIENT SERVICES				
Ref no.	Function Description	Retention Action	Examples of Records	Notes
Case Management – “looked after children”				
3.1	Systems which manage children, looked after by the local authority, in summary form	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> Children’s home register – (registers are the responsibility of CSIW. Care Inspectorate for Wales) 	LGG of RMS of GB. Closed for 50 years
3.2	Process involving individual case management of children by the local authority. This includes children and young people: <ol style="list-style-type: none"> Adopted via the local authority In children’s home Fostered by local authority On custodianship orders On residence orders 	Destroy 75 years from 18 th birthday	<ul style="list-style-type: none"> Adoption files Fostering-privately fostering children’s files Guardian ad litem files Guardian CAFCASS files Looked after children-client files Residential care children’s files Young persons being looked after files Young persons who have left care 	Legislation: Adoption Agencies Regulations (1983) reg.14
3.3	Children and young people subject to supervision orders	Destroy 21 years from DOB		LGG of RMS of GB
3.4	Process involved in checking the suitability of people to become adoptive parents or foster carers	Destroy 25 years after process completed	<ul style="list-style-type: none"> Adoptive parent counselling files Approved adopters 	National Child Care guidelines
3.5	Process involving individual case management of families or adults who have fostered children in their care Note: foster care financial files see Financial Management	Destroy 35 years after carer has ceased to foster	<ul style="list-style-type: none"> Foster carer files Supported lodging files 	Foster Placement (Children) regulations (1991) reg.14
Child Protection				
3.6	Process involving summary case management of children under the protection of local authority	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> Child Protection Register 	LGG of RMS of GB. Closed for 70 years
3.7	Process involving summary case management of adults convicted of Schedule 1 offences	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> Schedule 1 offenders 	LGG of RMS of GB. Closed for 70 years

Ref no.	Function Description	Retention Action	Examples of Records	Notes
3.8	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	Destroy 35 years from closure	<ul style="list-style-type: none"> • Child protection case files which have a) Conference minutes b) Core assessment c) Investigation d) Registration 	LGG of RMS of GB
3.9	Process involving individual cases involving initial assessment and provision of advice in regards child protection	Destroy 5 years from closure	<ul style="list-style-type: none"> • Child protection files a) Initial assessment b) Advice only 	LGG of RMS of GB
Case Management – Children’s Services General				
3.10	Children in need (who have not been adopted or looked after and who have not been the subject of a child protection inquiry)	Destroy 10 years after end of service provision	<ul style="list-style-type: none"> • Children in need client files • Disabled children client files 	LGG of RMS of GB
3.11	Process involving individual case management of services or support to unaccompanied minors (e.g. Asylum Seekers) if not “looked after”	Destroy 10 years from closure	<ul style="list-style-type: none"> • Asylum Seekers files 	LGG of RMS of GB
3.12	Process involving individual case management of services or support to youth	Destroy 25 years from DOB. Or destroy 10 years from last contact	<ul style="list-style-type: none"> • Youth Justice • Youth service client files 	LGG of RMS of GB
Special Educational Needs				
3.13	Records of assessment and support for children who have need of Special Educational Support	Destroy 35 years from closure date	<ul style="list-style-type: none"> • SEN files 	LGG of RMS of GB

Ref no.	Function Description	Retention Action	Examples of Records	Notes
Family Support				
3.14	Process involving individual case management in the provision of support by the local authority to families	7 years after file closure	<ul style="list-style-type: none"> Family support project files Welfare Rights client files 	LGG of RMS of GB
3.15	Process involved in assessing a family's suitability in the care of children	25 years from DOB of youngest child	<ul style="list-style-type: none"> Children in need case files 	LGG of RMS of GB
Adult and Elderly Case Files				
3.16	Process involving summary case management of services or support to adults	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded		LGG of RMS of GB
3.17	Process involving in assessing and providing individual support for people with mental illness	Destroy 10 years after last contact	<ul style="list-style-type: none"> Mental Health files 	LGG of RMS of GB
3.18	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 disability Physical disabilities Sensory disability Rehabilitation and discharge Communication support Drug and alcohol misuse Occupational therapy Home care 	Guidance from the College of Occupational Therapy
3.19	Where the council has fitted equipment and is responsible for repair and replacement	Destroy 10 years after equipment returned		Guidance from the College of Occupational Therapy
Admissions and Exclusions				
3.20	Case Files (including appeals)	Destroy 25 years from last action	<ul style="list-style-type: none"> Appeal files Exclusion files 	LGG of RMS of GB
Programme Management and Development				
3.21	Process involved in development of services or programmes for children	Destroy 7 years from closure		LGG of RMS of GB
3.22	Process involved in provision of services or programmes to support the development of children	25 years from closure	<ul style="list-style-type: none"> Attendance records Course reports 	LGG of RMS of GB
3.23	Process involved in provision of services or programmes to support the development of young persons	15 years from closure		LGG of RMS of GB
3.24	Process involved in provision of services or programmes to adults	7 years from closure		LGG of RMS of GB

Ref no.	Function Description	Retention Action	Examples of Records	Notes
Residential Homes				
3.25	Summary management systems that manage children/ adults housed by the local authority In homes for older persons, records to be kept on site for initial 5 year period (inspection Unit Standard)	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> Admissions registers Discharge registers Register of Residential Homes 	LGG of RMS of GB
3.26	Documents relating to the operation of the establishment	25 years from the closure of file In homes for older people, records should be kept on site for 5 years initially	<ul style="list-style-type: none"> Daily logs Diaries Rotas 	Inspection Unit Standard
Housing Provision				
3.27	The registration of an individual's housing applications	Permanent. Offer to Archivist	<ul style="list-style-type: none"> Council Housing register 	LGG of RMS of GB
3.28	The process for applying for council housing (Unsuccessful applications only, successful applications will generally be placed on the tenancy file)	Destroy 7 years after closure	<ul style="list-style-type: none"> Application for transfer of tenancy and supporting papers Council housing application forms and supporting material 	LGG of RMS of GB
3.29	The process for managing the tenancy of an individual tenant	Destroy 12 years after termination of tenancy	<ul style="list-style-type: none"> Application for emergency housing or referral from another agency Correspondence re tenancy Tenancy files 	Common practice. These may need to be kept for a longer period of time in order to prove that the tenant was actually housed properly by the authority
3.30	"Right to Buy"	Destroy 12 years after sale of house	<ul style="list-style-type: none"> "Right to Buy" file 	LGG of RMS of GB
3.31	"Right to Buy" application forms	Permanent	<ul style="list-style-type: none"> application forms 	Statutory

LEGAL AND CONTRACTS				
Ref no.	Function Description	Retention Action	Examples of Records	Notes
Litigation				
4.1	The process of managing, undertaking or defending for or against litigation on behalf of the Council with regard to children	After closure link with child's individual file	<ul style="list-style-type: none"> Childcare case file Correspondence 	LGG of RMS of GB
4.2	The process of managing, undertaking or defending for or against litigation on behalf of the Council	Destroy 7 years after last action MAJOR LITIGATION – offer to Archivist for review	<ul style="list-style-type: none"> Criminal case file Civil case file Correspondence 	LGG of RMS of GB
Advice				
4.3	The process of providing legal advice on a point of law	Destroy 3 years after last action UNLESS a major precedent, then offer to Archivist for review		LGG of RMS of GB
Agreements				
4.4	The process of agreeing terms between organisations NOTE – this does not include contractual agreements	Destroy 6 years after agreement expires or is terminated	<ul style="list-style-type: none"> Concordat 	Common practice. Depends upon value of agreement Mainly to do with agreements between public bodies, not in regard to contracts under seal
4.5	Agreements between organisations (not contractual agreements) NOTE – this does not include contractual agreements	Destroy 6 years after agreement expires or is terminated	<ul style="list-style-type: none"> Leases Licences 	Common practice Mainly to do with agreements between public bodies NOT in regard to contracts
Conveyance (see also Property Acquisition and Disposal)				
4.6	The process of changing ownership of land or property	Destroy 12 years after closure	<ul style="list-style-type: none"> Conveyancing files 	Statutory
Contracts and Tendering – Pre Contract Advice				
4.7	The process of calling for expressions of interest	Destroy 2 years after contract let or not proceeded with	<ul style="list-style-type: none"> Expressions of interest 	LGG of RMS of GB
Specification and Contract Development				
4.8	The process involved in the development and specification of a contract	<u>Ordinary Contracts</u> – destroy 6 years after terms of contract have expired <u>Contracts under Seal</u> – destroy 12 years after terms of contract have expired	<ul style="list-style-type: none"> Tender specification. NOTE for project files containing drafts leading to a final version these records can be destroyed	Statutory

Ref no.	Function Description	Retention Action	Examples of Records	Notes
Tender Issuing and Return				
4.9	The process involved in the issuing and return of a tender	Destroy 1 year after start of contract	<ul style="list-style-type: none"> Opening notice Tender Envelope 	LGG of RMS of GB
Evaluation of Tender				
4.10	Tender Evaluation Documents	<u>Ordinary Contracts</u> – destroy 6 years after terms of contract have expired <u>Contracts under Seal</u> – destroy 12 years after terms of contract have expired	<ul style="list-style-type: none"> Evaluation criteria 	Statutory
4.11	Successful tender documents	<u>Ordinary Contracts</u> – destroy 6 years after terms of contract have expired <u>Contracts under Seal</u> – destroy 12 years after terms of contract have expired	<ul style="list-style-type: none"> Tender documents Quotations 	Statutory
4.12	Unsuccessful tender documents	Destroy 1 year after start of contract	<ul style="list-style-type: none"> Tender documents Quotations 	LGG of RMS of GB
Post Tender Negotiation				
4.13	The process in negotiation of a contract after a preferred tender is selected	Destroy 1 year after the terms of the contract have expired	<ul style="list-style-type: none"> Clarification of contract Post tender negotiation minutes 	LGG of RMS of GB
Awarding of Contract				
4.14	The process awarding of contract	<u>Ordinary Contracts</u> – destroy 6 years after terms of contract have expired <u>Contracts under Seal</u> – destroy 12 years after terms of contract have expired	Signed contract	Statutory
Contract Management				
4.15	Contract operation and monitoring	Destroy 2 year after the terms of the contract have expired	<ul style="list-style-type: none"> Service Level Agreements Compliance reports Performance reports 	LGG of RMS of GB
4.16	Management and amendment of contracts	<u>Ordinary Contracts</u> – destroy 6 years after terms of contract have expired <u>Contracts under Seal</u> – destroy 12 years after terms of contract have expired	<ul style="list-style-type: none"> minutes & papers changes to requirements variation forms extension of contract complaints disputes on payment 	Statutory
Tenancy Agreements				
4.17	The process of awarding tenancies in affordable housing	<u>Ordinary Tenancy</u> Destroy 6 years after the terms of agreement have expired <u>Tenancy Under Seal</u> Destroy 12 years after the terms of agreement have expired	<ul style="list-style-type: none"> Sealed tenancy agreements Signed tenancy agreements 	Statutory

Ref no.	Function Description	Retention Action	Examples of Records	Notes
Highway Agreements				
4.18	The process of entering into highway agreements with outside organisations Agreements	Destroy files 6 years after final adoption of works Permanent.	<ul style="list-style-type: none"> • Files • S38 / S278 agreements 	LGG of RMS of GB

STATUTORY SERVICES				
Ref no.	Function Description	Retention Action	Examples of Records	Notes
Registrars of Births, Deaths and Marriages - Registration				
5.1	Process of the summary registration of a birth, death or marriage	Permanent.	<ul style="list-style-type: none"> Deaths register Births register Marriage register 	Set by Registrar General
5.2	Process of certification of the registration of a birth, death or marriage	Permanent.	<ul style="list-style-type: none"> Deaths register Births register Marriage register 	Set by Registrar General
Notices				
5.3	Process of notification in relation to birth, death or marriage	Destroy 5 years after last action	<ul style="list-style-type: none"> Wedding banns Notice of marriage 	Set by Registrar General
Coroners				
5.4	Summary registration of reported deaths	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> Reported deaths register 	Set by Public Record Office
	For further information please refer to Home Office website www.homeoffice.gov.uk/circulars/1999/hoc9959.htm			
5.5	The process and actions of inquiring into deaths which DO NOT PROCEED to an inquest	Destroy 15 years after last action	<ul style="list-style-type: none"> Coroner's case files 	Set by Public Record Office
5.6	The process and actions of inquiring into deaths which PROCEED to an inquest	Permanent. Offer to Archivist to review. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> Coroner's case files 	Set by Public Record Office Can be sampled according to <ul style="list-style-type: none"> Set a precedent in law or practice: Relate to an individual, accident or crime subject to prolonged or repeated interest from the national media
Treasure Trove				
5.7	The process and actions of Treasure inquests	Destroy 2 years after last action		Set by Public Record Office

HUMAN RESOURCES				
Ref no.	Function Description	Retention Action	Examples of Records	Notes
Personnel Administration				
6.1	Summary management systems that allow the monitoring & management of employees in summary form <u>Note: The summary information that this record class attempts to capture is:-</u> Name DOB Date of appointment Work history details Position / designation Titles & dates held	Permanent. Offer to Archivist to review. Transfer to place of deposit after administrative use is concluded. Electronic Reports to be held by HR after data has been deleted from Oracle or other source records.	<ul style="list-style-type: none"> • Employment register – permanent staff • Employment register – temporary staff • Employment register – casual staff • Registers of personnel files • Personal history cards • Superannuation history card • Salary master record 	LGG of RMS of GB
6.2	The process of administering employees to ensure that entitlements & obligations are in accordance with agreed employment requirements <ul style="list-style-type: none"> • Records containing superannuation information 	Destroy 7 years from date of last pension payment. Core person and assignment record retained until 7 years after person has left based on Financial year management to ensure all financial data can be held	<ul style="list-style-type: none"> • Medical clearance • Letter of appointment • Letter of acceptance • Details of assigned duties • Probation reports • Medical examinations • Personal particulars • Educational qualifications • Declaration of pecuniary interests • Secrecy undertakings • Employment contracts 	LGG of RMS of GB
6.3	Records relating to staff working with children covered by Warner e.g. Children services and residential schools	Termination + 25 years		LGG of RMS of GB
6.4	All other staff records	Termination + 7 years		LGG of RMS of GB
Employee and Industrial Relations				
6.5	Identification & development of significant directions concerning industrial matters	Permanent. Offer to Archivist to review. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Generic agreements and awards • Negotiations • Disputes • Claims lodged 	LGG of RMS of GB

Ref no.	Function Description	Retention Action	Examples of Records	Notes
6.6	Processing of disciplinary and grievances investigations where proved	Destroy 7 years from date of last pension payment or 25 years for records relating to staff working with children covered by Warner e.g. Children services and residential schools.	<ul style="list-style-type: none"> Disciplinary 	For all practical purposes this function would not be subject to records management except for Warnings Involving Children, which remain on the personal file permanently
6.7	Processing of disciplinary and grievances investigations where unfounded	Destroy 7 years from date of last pension payment or 25 years for records relating to staff working with children covered by Warner e.g. Children services and residential schools.	<ul style="list-style-type: none"> Disciplinary 	LGG of RMS of GB
Occupational Health				
6.8	The process of checking and ensuring the health of staff	Destroy 35 years from last entry OR 40 years from last entry if employee has received vaccinations or health surveillance in connection with his / her employments	<ul style="list-style-type: none"> Health questionnaire Medical clearance Adjustment to work place Restrictions Recommendations Workplace assessments DSE assessments Pregnant worker risk assessments 	V.O.G.C.
Accident and Incident Forms				
6.9	Accident and Incident Investigations	Destroy 3 years from end of investigation	<ul style="list-style-type: none"> Investigation reports Witness statements Investigation photographs 	
6.10	Accident and Incident Reporting Forms	Destroy 3 years from date of accident / 3 years after 18th birthday if child. Victims can make claims for up to 3 years from date of accident.	<ul style="list-style-type: none"> Accident forms Incident forms Accident books F2508 RIDDOR forms 	
Recruitment				
6.11	The selection of an individual for an established position	Destroy 1 year after recruitment has been finalised (for letter of appointment for successful candidate use employment conditions)	<ul style="list-style-type: none"> advertisements applications referee reports interview reports unsuccessful applicants 	LGG of RMS of GB

Ref no.	Function Description	Retention Action	Examples of Records	Notes
Staff Monitoring				
6.12	Performance	Destroy 7 years from date of last pension payment or 25 years for records relating to staff working with children covered by Warner e.g. Children services and residential schools.	<ul style="list-style-type: none"> probation reports performance plans 	LGG of RMS of GB
6.13	Process of monitoring staff leave and absence (Payroll and Non-Payroll)	Destroy 7 years from date of last pension payment or 25 years for records relating to staff working with children covered by Warner e.g. Children services and residential schools.	<ul style="list-style-type: none"> sick leave jury service study leave special & personal leave attendance books flexitime sheets leave applications clock on/off cards annual leave Advisory Notices Return to Work Forms Sickness Notifications Sickness Returns SSP1 letters Sickness Flagging Reports MATB1 Adoption Forms 	LGG of RMS of GB
6.14	Financial reward	Destroy 7 years after action completed		Common practice – all records relating to actual payments are dealt with under Finance Common Practice
6.15	Public Sector Equality Duty Information	Destroy 7 years after action completed		
Termination				
6.16	The process of termination of staff through voluntary redundancy, dismissal and retirement	Destroy 7 years after action completed 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 	LGG of RMS of GB
Training and Development				
6.17	Routine staff training processes, not occupational health and safety of children related	Destroy 2 years after administrative use is concluded	<ul style="list-style-type: none"> course individual staff assessment 	LGG of RMS of GB
6.18	Training (concerning children)	Destroy 25 years after training completed, or last entry	<ul style="list-style-type: none"> course individual staff assessment training register 	LGG of RMS of GB

Ref no.	Function Description	Retention Action	Examples of Records	Notes
6.19	Training (occupational health & safety training)	Destroy 30 years after training completed Individual course assessment records should be destroyed once the training has been renewed every 3 years. This will ensure we keep records on staff with injuries as a result of accumulative effects. Access to Medical Records Act 1988	<ul style="list-style-type: none"> O H & S training register 	LGG of RMS of GB
6.20	Training (materials)	Destroy 1 years after course is superseded		LGG of RMS of GB
6.21	Training (proof of completion)	Destroy 7 years after action completed	<ul style="list-style-type: none"> certificates awards exam results 	LGG of RMS of GB
Appointment of Statutory Officers				
6.22	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 	LGG of RMS of GB
6.23	The process of selection of an individual for a statutory position	Destroy 2 years after date of appointment	<ul style="list-style-type: none"> Vacancies & application records Interview notes Prospective staff records Registers of applicants Unsuccessful application records 	LGG of RMS of GB

FINANCIAL MANAGEMENT				
Ref no.	Function Description	Retention Action	Examples of Records	Notes
Accounts and Audit - Reporting				
7.1	The process that consolidates financial transactions on an annual basis for corporate reporting purposes	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> Consolidated annual reports Consolidated financial statements Statement of financial position Operating statements General ledger 	LGG of RMS of GB
7.2	The process that supports and consolidates financial transactions on a periodic (less than annual) basis superseding those from the previous period. Does not include journals and subsidiary ledgers and cash books	Destroy when administrative use is concluded	<ul style="list-style-type: none"> Consolidated monthly & quarterly reports Consolidated monthly & quarterly financial statements Working papers for the preparation of the above Monthly accrual statements Cashflow statements Creditors listing & reports Debtors listing & reports 	LGG of RMS of GB
Financial Transactions Management				
7.3	Management of the approvals process for purchase, including investigations	Destroy 7 years after the conclusion of the financial transaction that the record supports	<ul style="list-style-type: none"> Appointments & delegations Audit investigations Arrangements for the provision of goods and / or services 	Statutory
7.4	Purchasing	Destroy 7 years after the end of the financial year in which the records were created	<ul style="list-style-type: none"> approvals process notes 	Statutory
7.5	Identification of the receipt, expenditure and write-offs of public monies <u>Refer also to 15.1 & 15.2 for European Grant Funding</u>	Destroy 6 years after the conclusion of the financial transaction that the record supports	<ul style="list-style-type: none"> Allowances Work orders Invoices (see also 15.1 & 15.2) Credit card statements Cash books Receipts Cheque counterfoils Bank statements Subsidiary ledgers (annual) Journals Vouchers etc. 	Statutory This period may be reduced with the agreement of Customs & Excise and / or the Inland Revenue
7.6	Process involving the provision and support for individuals using public transportation	Destroy 6 years after the conclusion of the financial transaction that the record supports	<ul style="list-style-type: none"> applications card issue rail warrants bus passes 	Statutory
7.7	Processes that balance & reconcile financial accounts	Destroy 2 years after administrative use is concluded	<ul style="list-style-type: none"> Reconciliation records Summaries of accounts 	LGG of RMS of GB

Ref no.	Function Description	Retention Action	Examples of Records	Notes
7.8	Taxation Records	Destroy 5 years after the end of the financial year in which the records were created	<ul style="list-style-type: none"> Taxation records Motor vehicle logs Fringe benefits tax records Group certificates 	Statutory
7.9	Process involved in the collection of National Insurance Number	Destroy 2 years after the employee ceases employment	<ul style="list-style-type: none"> Notification & input records 	LGG of RMS of GB
Payroll				
7.10	Accountable processes relating to payment of employees	Destroy 7 years after the conclusion of the financial transaction that the record supports	<ul style="list-style-type: none"> Authority sheets Payroll deduction authorities Payroll disbursement Employee pay records Employee taxation records 	Statutory
7.11	Non-accountable processes relating to payment of employees	Destroy after administrative use is concluded	<ul style="list-style-type: none"> Summary employee pay reports 	LGG of RMS of GB
7.12	External (Non Vale) Payroll Correspondence and records	Destroy 7 years after the conclusion of the financial record that the transaction supports	<ul style="list-style-type: none"> Instructions from the External Body Pay details and supporting paperwork for the employees of that body 	
7.13	Payroll Correspondence for Third Parties supporting payroll queries	Destroy after 2 financial years	<ul style="list-style-type: none"> Loss of Earnings (Jury Service) Mortgage Forms Property References 	
7.14	Correspondence relating to Personal Changes for Employees	Destroy after 2 financial years	<ul style="list-style-type: none"> GTCW Reimbursement Change in Vehicles Change in Bank Details Change in Personal Circs 	
Financial Provisions – Budgets and Estimates				
7.15	The process of finalising local authorities annual budget	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> Annual budget 	LGG of RMS of GB Only the final version of the annual budget needs to be kept
7.16	The process of developing local authorities annual budget	Destroy 2 years after annual budget adopted by local authorities	<ul style="list-style-type: none"> Draft budgets Departmental budgets Draft estimates 	LGG of RMS of GB
7.17	The process of reporting which examines the budget in relation to actual revenue and expenditure	Destroy after the following years' annual budget has been adopted	<ul style="list-style-type: none"> Quarterly statements 	LGG of RMS of GB

Ref no.	Function Description	Retention Action	Examples of Records	Notes
Loans				
7.18	The activity of borrowing money to enable a local authority to perform its functions and exercise its powers	Destroy 7 years after the loan has been repaid	<ul style="list-style-type: none"> Loan files 	Statutory
7.19	Summary management of loans	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> Loans registers 	LGG of RMS of GB
Housing – Financial Provisions				
7.20	Mortgages	Last payment + 6 years if signed Last payment + 12 years if sealed	<ul style="list-style-type: none"> Mortgage agreements correspondence 	Statutory
7.21	“Right to Buy”	Destroy 12 years after sale of house	<ul style="list-style-type: none"> “Right to Buy” file 	LGG of RMS of GB
7.22	Rent payments	Destroy 7 years after the end of the financial year in which created	<ul style="list-style-type: none"> Rent books Correspondence concerning payment Requests for payment 	Statutory
7.23	Home Improvement Grants	Destroy 6 years after last payment for grants under £50,000. For grants over £50,000 destroy 12 years after last payment	<ul style="list-style-type: none"> Agreement to pay loan Details of payments Correspondence relating to loan 	Statutory
7.24	Process involving the provision and support for individuals requesting housing benefit	End of current financial year plus 6 years	<ul style="list-style-type: none"> Applications Appeal files 	V.O.G.C.
Council Tax Valuation				
7.25	The valuation of rateable land within a municipal district for the purpose of the making of the rate	Valuation lists – Permanent. Offer to Archivist for review Destroy 10 years after the year in which the valuation was made	<ul style="list-style-type: none"> Valuation lists Correspondence Objections Reports 	LGG of RMS of GB
Property History				
7.26	The recording of information for rateable properties identifying the person or company rated, including details of the value of the property. Note – Records containing accounting information primarily, and not being a source of property history, should be disposed of according to the appropriate record class within the Accounts & Audits function	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> Rate books Rate cards Register of Rateable Properties 	LGG of RMS of GB

Ref no.	Function Description	Retention Action	Examples of Records	Notes
Rates and Local Authorities Correspondence				
7.27	The activity of corresponding with ratepayers in relation to valuations, rates and charges, objections, submissions, appeals, rate remissions and other rates related matters	Destroy 7 years after last action	<ul style="list-style-type: none"> • Notices • Objections • Applications • Correspondence • Rate certificates • Notices of acquisition and disposition • Rate property files 	LGG of RMS of GB
Summary Assets Management				
7.28	See Property Management for real property assets. See Transport Management for vehicle assets			
7.29	Summary management reporting on the overall assets of the local authorities	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Schedules of acquisitions • Consolidated current asset reports • Annual reports • Summary of current assets • Asset registers 	LGG of RMS of GB
Asset Monitoring and Maintenance				
7.30	Management systems that allow the monitoring & management of assets in summary form	Destroy 7 years after the conclusion of the financial transaction that the record supports	<ul style="list-style-type: none"> • Subsidiary asset registers 	LGG of RMS of GB
7.31	Process of reporting and reviewing assets status - Asset Monitoring	Destroy 2 years after administrative use is concluded	<ul style="list-style-type: none"> • routine returns and reports on asset status • inventories • stocktaking • surveys of usage • acquisition & disposal records 	LGG of RMS of GB
7.32	The process of maintaining assets	Destroy 7 years after last action	<ul style="list-style-type: none"> • garden maintenance • cleaning • painting 	LGG of RMS of GB
7.33	The process of maintaining plant and equipment	Destroy 7 years after sale or disposal of asset	<ul style="list-style-type: none"> • Service Records • Plant Files 	LGG of RMS of GB
Asset Acquisition and Disposal				
7.34	Management of the acquisition (by financial lease or purchase) and disposal (by sale or write off) process for assets	Destroy 6 years if under £50,000 or 12 years if over £50,000. After all obligations / entitlements are concluded	<ul style="list-style-type: none"> • Legal documents relating to purchase / sale • Particulars of sale documents • Board of survey • Leases • Applications for leases, licences & rental revision • Tender documents • Conditions of contract • Certificates of approval 	Statutory

Ref no.	Function Description	Retention Action	Examples of Records	Notes
Financial Management – Student Support				
7.35	Process involving the provision and support for individuals requesting student support	End of current financial year plus 6 years	<ul style="list-style-type: none"> • Applications • files 	V.O.G.C.

PROPERTY AND LAND MANAGEMENT				
Ref no.	Function Description	Retention Action	Examples of Records	Notes
8.1	Reports to management on overall property of the local authority	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> Consolidated property & buildings annual reports Summary of leased property Summary of local authority's owned property Site register Register of leases 	LGG of RMS of GB
Property Acquisition and Disposal (see also Conveyance)				
8.2	Management of the acquisition (by financial lease or purchase) process for real property	Retain for life of property or building plus 12 years. Offer material regarding major / significant properties to Archivist for review	<ul style="list-style-type: none"> Plans 	LGG of RMS of GB
8.3	Management of the disposal (by sale or write off) process for real property	Destroy 15 years after all obligations / entitlements are concluded. Offer material regarding major / significant properties to Archivist for review	<ul style="list-style-type: none"> Legal documents relating to sale Particulars of sale documents Board of Survey Tender documents Conditions of contracts 	LGG of RMS of GB
Property Development and Renovation				
8.4	The process of managing and undertaking renovations and development of property			
8.5	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 	LGG of RMS of GB
8.6	Management All other buildings and estates	Retain for life of property or building	<ul style="list-style-type: none"> Project specifications Plans Installation manuals Certificates of approval 	Common practice For asbestos see health and safety under General Public Services
8.7	The action process involved in the development and renovation of property	Destroy 7 years after the conclusion of the transaction that the record supports	<ul style="list-style-type: none"> Work orders Tender documents Conditions of contracts 	LGG of RMS of GB
Leasing and Occupancy				
8.8	The process of managing leased property	Destroy 15 years after the expiry of the lease	<ul style="list-style-type: none"> Lease agreements Rental expenditure authorities Valuation queries Applications for leases, licences & rental revision 	LGG of RMS of GB

Ref no.	Function Description	Retention Action	Examples of Records	Notes
8.9	The process of managing the occupancy of property	Destroy 7 years after the conclusion of the transaction that the record supports	<ul style="list-style-type: none"> Requests for works, cleaning etc 	LGG of RMS of GB
Housing Provision				
8.10	The process of managing local authority housing estates	Destroy 4 years after last action	<ul style="list-style-type: none"> Stock monitoring records 	LGG of RMS of GB
Systems Management				
8.11	The internal process to develop or extend the capabilities of a system used to support the activities of the local authority	Retain for life of system then destroy		LGG of RMS of GB
8.12	The process to implement a system used to support the activities of the local authority	Destroy 7 years after last action	<ul style="list-style-type: none"> Implementation plan 	LGG of RMS of GB
8.13	The process to support and administer a system used to support the activities of the local authority	Destroy 5 years after last action		LGG of RMS of GB
Transport Management				
8.14	The process of acquisition and disposal of vehicles through lease or purchase	Destroy 7 years after the disposal of the vehicle	<ul style="list-style-type: none"> Leases Contracts Quotes Approvals Fleet authorisation numbers 	Statutory
8.15	The process of managing allocation & maintenance of vehicles	Destroy 7 years after the sale or disposal of the vehicle	<ul style="list-style-type: none"> Approvals as drivers Allocations & authorisations for vehicles 	Statutory
8.16	The process of recording vehicle usage	Destroy 3 years after the sale or disposal of the vehicle	<ul style="list-style-type: none"> Vehicle usage reports 	Statutory
8.17	The process of recording drivers usage	Destroy 7 years after closure	<ul style="list-style-type: none"> Vehicle log book 	Statutory
Insurance – Policy Management				
8.18	The summary management of insurance arrangements	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> Insurance register 	LGG of RMS of GB

Ref no.	Function Description	Retention Action	Examples of Records	Notes
8.19	The process of insuring local authority officers property, vehicles and equipment against negligence, loss or damage	Destroy 7 years after the terms of the policy have expired	<ul style="list-style-type: none"> • Insurance policies • Correspondence 	LGG of RMS of GB
8.20	The process of renewing insurance policies	Destroy 5 years after the insurance policy has been renewed	<ul style="list-style-type: none"> • Insurance policy renewal records • Correspondence 	LGG of RMS of GB
Claims Management				
8.21	The process that records insurance claims against the local authority or local authority officers	Destroy 7 years after all obligations / entitlements are concluded (allowing for the claimant to reach 25 years of age)	<ul style="list-style-type: none"> • Claims records • Correspondence 	LGG of RMS of GB

GENERAL PUBLIC SERVICES

Ref no.	Function Description	Retention Action	Examples of Records	Notes
Health and Safety – Inspections and Assessments				
9.1	Process of inspecting equipment to ensure it is safe	Destroy 6 years from destruction of the equipment	<ul style="list-style-type: none"> Equipment inspection records 	Statutory
9.2	Processing the geo-technical assessments of a quarry	When quarry is no longer in use consult or refer to Health and Safety Executive (HSE)	<ul style="list-style-type: none"> Assessment records 	Statutory
9.3	Process of carrying out monitoring to ensure that the process is safe	Destroy 3 years from last action	<ul style="list-style-type: none"> Monitoring results 	Statutory
9.4	Process of monitoring areas where employees and persons are likely to have become in contact with ASBESTOS	Destroy 40 years from last action	<ul style="list-style-type: none"> Property asbestos files 	LGG of RMS of GB
9.5	Process of monitoring of areas where employees and persons are likely to come into contact with radiation	Destroy 50 years from last action or a age of 75 years whichever is the greater	<ul style="list-style-type: none"> Radon monitoring 	LGG of RMS of GB
9.6	Process to ensure safe systems of work	Retain until superseded or process ceases + 1 year		LGG of RMS of GB
9.7	Process to assess the level of risk	Destroy 3 years from last assessment	<ul style="list-style-type: none"> Risk assessment 	Statutory
9.8	Processes that permit work	Destroy 1 year from last action		LGG of RMS of GB
9.9	Process that records injuries to adults	Destroy 3 years from last closure	<ul style="list-style-type: none"> Accident books RIDDOR reports 	Statutory
9.10	Process that records injuries to children	Destroy 25 years from last closure	<ul style="list-style-type: none"> Accident books 	Based on Statutory
Planning				
9.11	Process to develop the emergency / disaster plan for the local community	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> Major Incident Plan 	LGG of RMS of GB
9.12	Process of recording the results of the test for emergency / disaster plan for the local community	Destroy 10 years after the matter is concluded	<ul style="list-style-type: none"> Records 	LGG of RMS of GB

Ref no.	Function Description	Retention Action	Examples of Records	Notes
Major Incident				
9.13	Activities that report on all major incidents in the local community, whether the emergency plan has been invoked or not	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded		LGG of RMS of GB
9.14	Activities that report on all minor incidents in the local community	Destroy 7 years after closure		LGG of RMS of GB
Enforcement, Certification and Prosecution				
Registration, Certification and Licensing				
9.15	Summary management systems that allow the monitoring & management of registration, certification and licences registration requirements in summary form	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Visual impairment register 	LGG of RMS of GB
9.16	The administration of applications, registration, certification and licences in relation to local authorities registration requirements	Destroy 2 years after registration or entitlement lapses	<ul style="list-style-type: none"> • Applications for animal registration • Applications for registration of a business premises • Applications for release of animals impounded • Registers • Certificates of registration of – • door supervisors • taxi drivers • beauty therapists • Animal Movement licences • Gaming • Fire certification • Disabled parking permits • Blue badge • Registration to sell poison 	Statutory – NB – may want archival review in cases of licensing of children in entertainment
9.17	The process involved for licensing sites for the holding or use of toxic or hazardous substances (inc. petroleum, agricultural chemical products or herbicides)	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded – 60 years after registration or entitlement lapses	<ul style="list-style-type: none"> • Diesel licences • Petroleum licences • Health and safety licensing • Hazardous substances • Contaminated land register / pollution 	LGG of RMS of GB

Ref no.	Function Description	Retention Action	Examples of Records	Notes
9.18	The process of registration of homes or carers for the care and support of children, in the responsibility of the local authority	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded – 25 years from closure of centre or discontinuation of care	<ul style="list-style-type: none"> • Organisation files • Child carers files • Childcare registration • Day care registration • Children's home 	Common practice The responsibility of OFSTED since 1 st April 2002
Notification				
9.19	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 	LGG of RMS of GB
Investigation, Inspection and Monitoring				
9.20	The process of investigation, monitoring or inspection laws in the responsibility of the local authority	Destroy 7 years after last action	<ul style="list-style-type: none"> • Trading standards sample and inspection records • Fire certificate compliance inspections 	LGG of RMS of GB
Prosecution				
9.21	The process of prosecution or sanction of an individual or organisation for failing to comply with their legal responsibilities	Destroy 7 years after last action	<ul style="list-style-type: none"> • Prosecution / sanction files 	LGG of RMS of GB
Bye-Laws				
Enactment				
9.22	The process of making local laws	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Master set of bye-laws • Policy development documents • Correspondence • submissions 	LGG of RMS of GB
Administration and Enforcement				
9.23	The process of administering and enforcing bye-laws	Destroy 2 years after certificate has expired or penalty payment has been made or the matter has been finished or correspondence on the matter has ceased	<ul style="list-style-type: none"> • Applications and certificates • Permits • Licences • Infringement Notices (Parking) • Correspondence 	LGG of RMS of GB
Cemeteries & Crematoria				
9.24	Summary management systems that record the location of burials and identity of deceased individuals	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Register of interments • Cemetery register • Cemetery plans 	LGG of RMS of GB
9.25	The process of regulation of burials and cremations	Destroy 5 years after last action	<ul style="list-style-type: none"> • Permits • Applications • Orders 	LGG of RMS of GB

WASTE MANAGEMENT – The provision of hard waste removal, destruction and waste reduction services by the council to ratepayers

Ref no.	Function Description	Retention Action	Examples of Records	Notes
Collection				
9.26	The process of arranging collection or transportation of household waste	Destroy 2 years after last action		LGG of RMS of GB
9.27	The process of arranging collection or transportation of controlled waste	Destroy 6 years after last action		LGG of RMS of GB
Disposal of Waste				
9.28	The summary management of sites used for the disposal of waste within the local authority	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded		LGG of RMS of GB
9.29	The process of short-term storage of household waste	Destroy 10 years after site closure	<ul style="list-style-type: none"> • Transfer sites 	LGG of RMS of GB
9.30	The process involved in managing the use, type and amount of waste to be disposed at a specific site	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Waste site plans 	LGG of RMS of GB

PLANNING AND LAND USE				
Ref no.	Function Description	Retention Action	Examples of Records	Notes
Planning Scheme Development and Amendment				
10.1	The activity of developing a vision and strategic directions regarding existing and future land use within the Local Authority and the development of local and town centre plans to ensure the implementation of the Structure Plan	Permanent. Offer to Archivist when plan superseded	<ul style="list-style-type: none"> • Structure plan • Local plan • Town centre plans • Unitary Development plans 	LGG of RMS of GB
10.2	The activity of consultation to gain approval for the Structure Plan (Unitary Development Plans) or Local Plans	Permanent. Offer to Archivist for review after 3 years	<ul style="list-style-type: none"> • Consultation documents and replies • Inquiries and objections made by members of the public • Public inquiry documents 	LGG of RMS of GB
10.3	The activity of recording information on historical buildings, monuments and ecology at a specific site	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Sites and Monument records • Ecological records • Species records • Historically listed buildings • Definitive map • Commons registration 	LGG of RMS of GB
10.4	The activity of establishing planning scheme controls and providing for them to be amended	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Successful waste planning applications • Successful mineral planning applications • Amendments to definitive map • Mineral register • Applications for mineral extraction • Land Use surveys 	LGG of RMS of GB
10.5	The process of receiving, considering and responding to submissions and objections to planning schemes and amendments	Destroy 15 years after the decision. Offer controversial / high profile schemes to Archivist	<ul style="list-style-type: none"> • Waste planning applications consultation • Mineral planning applications consultation • Objections • Inquiries – Public etc • Archaeological: advice / conditions 	LGG of RMS of GB
10.6	The process of controlling development of areas through applications for planning permission	Transfer planning application register to Archivist once the register has been completed (or at regular intervals if register is held electronically) Refer all other records to Archivist for sampling	<ul style="list-style-type: none"> • Planning application files and plans • Correspondence relating to any objections • Hearing papers • Planning application register 	LGG of RMS of GB

Ref no.	Function Description	Retention Action	Examples of Records	Notes
10.7	The process of maintaining the countryside and developing open spaces for public amenity	Refer all files relating to policy to the Archivist . Transfer all TPO's to the Archivist after 7 years Destroy other files 7 years after administrative use is concluded	<ul style="list-style-type: none"> • Tree preservation orders • Country parks and nature reserves development plans and correspondence, land purchase agreements 	LGG of RMS of GB
Planning Scheme Regulation				
10.8	The summary management of planning scheme regulation	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Building control registers 	LGG of RMS of GB
10.9	The process of regulating the planned use of land or buildings	Destroy 15 years after closure		LGG of RMS of GB
10.10	The process of approving building applications in relation to listed or other significant building	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 	LGG of RMS of GB
10.11	The process of approving building applications for all other building	Destroy 15 years after construction completed	<ul style="list-style-type: none"> • Building files • Plans • Specifications • Correspondence • Applications • Permits • Certificates • Objections 	LGG of RMS of GB
10.12	The process of inspecting building work for the purpose of ensuring compliance	Destroy 10 years after the issue of a certificate of final inspection	<ul style="list-style-type: none"> • Certificate of final inspection • Building inspection records • Diaries 	LGG of RMS of GB
10.13	The process of enforcing building or land regulations	Destroy 3 years after compliance with enforcement notice		LGG of RMS of GB

INFRASTRUCTURE AND TRANSPORT				
Ref no.	Function Description	Retention Action	Examples of Records	Notes
Planning and Development				
11.1	The activity of developing a vision and strategic directions regarding existing transport and infrastructure within the Vale of Glamorgan	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 	LGG of RMS of GB
11.2	The activity of recording location of highways, bridle paths and rights of way	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Definitive map • Correspondence concerning enquiries and disputes 	LGG of RMS of GB
11.3	The activity of establishing planning scheme controls and providing for them to be amended and modified	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Amendments to definitive map • Road adoption 	LGG of RMS of GB
11.4	The process of receiving, considering and responding to submissions and objections to planning schemes and amendments	Destroy 7 years after the decision. Offer controversial / high profile schemes to Archivist	<ul style="list-style-type: none"> • Enquiries • Consultation documents • Objections • Correspondence 	LGG of RMS of GB
11.5	The process of enforcing infrastructure and transport regulations	Destroy 50 years after enforcement notice Destroy 3 years after compliance with enforcement notice		LGG of RMS of GB
Traffic Management				
11.6	The activity of planning and programming the continued flow, diversion or reduction of traffic TEMPORARY	Destroy 7 years after action completed	<ul style="list-style-type: none"> • Traffic planning files • Temporary traffic orders 	LGG of RMS of GB
11.7	The activity of planning and programming the continued flow, diversion or reduction of traffic PERMANENT	Permanent or until order revoked. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Traffic planning files • Permanent traffic orders 	LGG of RMS of GB
Design and Construction				
11.8	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		LGG of RMS of GB

Ref no.	Function Description	Retention Action	Examples of Records	Notes
Infrastructure Management and Maintenance				
11.9	The activity of providing services in relation to infrastructure within the local authority	Destroy 7 years after last action	<ul style="list-style-type: none"> • Street files • Street records Requests for – • Hedge clipping • Tree planting • Naming of streets • Numbering of houses • Street load limits • Street signs • Bus shelters • Applications to dig up pavements • HGV application • Advice / comment • Level crossings • Right of ways • Roundabouts • Traffic calming measures • Street lighting 	LGG of RMS of GB
Road Maintenance				
11.10	The activity of maintaining and repairing roads, streets, bridges, bridle paths, right of ways and tunnels	Destroy 12 years after action completed		LGG of RMS of GB
Public Transport Services				
11.11	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 	LGG of RMS of GB

UPDATES

12 REQUESTS FOR INFORMATION

FoI / EIR

12.1	Policy Records	Retain for five years after the procedures have been superseded as they may have archival or reference value. Consider for permanent preservation.	<ul style="list-style-type: none"> Procedures for handling FoI & EIR requests Retention & Disposal Policy Documents on the Council's FoI policy Case records that lead to the development of precedents and best practice 	Best practice guidelines issued by the National Archives August 2005
12.2	Individual Transaction Records	3 years after date of creation	<ul style="list-style-type: none"> Case file records detailing the request, the consideration of possible exemptions / exceptions and subsequent appeals 	Best practice guidelines issued by the National Archives August 2005
12.3	Disclosure Log	Keep as required for DCA reporting requirements Suggested period of 10 years. Place on Publication Scheme	<ul style="list-style-type: none"> Statistical data about the number of requests answered and their outcome (place on web) 	Best practice guidelines issued by the National Archives August 2005
12.4	Access Status Records	Suggested period of 10 years	<ul style="list-style-type: none"> Details of access decisions taken Redacted versions of released documentation 	Best practice guidelines issued by the National Archives August 2005
12.5	Record of request scheduled for disposal	6 months from the date of last correspondence on the matter	<ul style="list-style-type: none"> Information subject to a request applying to a record scheduled for destruction 	Best practice guidelines issued by the National Archives August 2005
12.6	Record of fees applied prior to disclosure	6 years from date of transaction	<ul style="list-style-type: none"> Records of Financial transactions 	Best practice guidelines issued by the National Archives August 2005

DPA

12.7	The process of receiving, considering and responding to written requests for personal information (subject access)	Destroy 2 calendar years after information supplied or 2 calendar years after any appeal process	<ul style="list-style-type: none"> Files Supporting records 	Public Record Office version 1 (Sept 2002)
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Ref no.	Function Description	Retention Action	Examples of Records	Notes
13 FORMER COUNCIL OWNED HOUSES				
Council Consent				
13.1	The process of granting consent / retrospective consent for alterations to	Destroy 6 years after granting consent (amend retention period of	<ul style="list-style-type: none"> Files 	VOGC

	former council owned houses	RTB file accordingly should consent issue fall within 12 year retention period)		
14 WORKING WITH PESTICIDES				
14.1	Exposure monitoring of individual, identifiable persons	Retain for 40 years.	<ul style="list-style-type: none"> Records demonstrating that employers have achieved and maintained adequate control of exposure to hazardous substances 	Pesticides Safety Directorate September 2005
14.2	Systems of health surveillance	Retain for 40 years. Offer for permanent archive on review	<ul style="list-style-type: none"> Records that identify any adverse health effects resulting from occupational exposure to hazardous substances Records that demonstrate that employers have complied with legal requirements to carry out health surveillance of their employers 	Pesticides Safety Directorate September 2005
15 EUROPEAN GRANT FUNDING				
15.1	Paper Records Supporting records associated with European Grant Funding	'Retain for 99 years after final payment received from the Commission, unless direct approval to destroy	<ul style="list-style-type: none"> All supporting documentation (including invoices) 	E C Regulation 1260/1999 Article 38 (6)
15.2	Electronic Records Supporting records associated with European Grant Funding	'Retain for 99 years after final payment received from the Commission, unless direct approval to destroy documents is received'	<ul style="list-style-type: none"> All supporting documentation (including invoices) Including certification and verification of electronic documents associated with the project 	E C Regulation 2355/2002 amending E C Regulation 438/2001
16 WELSH GOVERNMENT GRANT FUNDING				
16.1	Community Focused Schools Grant Funding	Retain for 10 years after conclusion of scheme	<ul style="list-style-type: none"> All supporting documentation 	Welsh Government
16.2	Cymorth The Children & Youth Support Fund	Retain for 10 years from the end date of the grant scheme	<ul style="list-style-type: none"> Books of account All related financial records 	Welsh Government
16.3	Lead Local Flood Authority (LLFA) grant	Retain for 10 years from the end date of the grant scheme	<ul style="list-style-type: none"> Books of account All related financial records 	Welsh Government
17 INTERNAL AUDIT				
Internal Audit Investigations				
17.1	Investigation resulting in criminal proceedings	2 years from date of conviction / sentence passed	<ul style="list-style-type: none"> Investigation files 	V.O.G.C.
17.2	Investigation that DO NOT result in criminal proceedings (inc those where no further action was taken)	2 years from date of Court dismissal OR decision by Operational Manager (Accountancy / Audit) AND / OR Principal Auditor not to proceed	<ul style="list-style-type: none"> Investigation files 	V.O.G.C.
17.3	Investigation resulting in caution / administrative	2 years from date of caution / administrative penalty	<ul style="list-style-type: none"> Investigation files 	V.O.G.C.

	penalty			
17.4	Investigations	2 years from appropriate date	<ul style="list-style-type: none"> IUC tapes 	V.O.G.C.
17.5	Investigations	10 calendar years from closure	<ul style="list-style-type: none"> QB50 notebooks 	V.O.G.C.
18 REGULATION of INVESTIGATORY POWERS ACT 2000				
18.1	RIPA Central Record	6 calendar years from the end of the financial year in which the record was created	<ul style="list-style-type: none"> Index All supporting application forms 	R. I. P. A Code of Practice 2010
Investigations – where surveillance resulted in proceedings				
18.2	Investigations	Destroy 7 years after last action (see also 9.21)	<ul style="list-style-type: none"> Application Authorisations Products of surveillance 	R. I. P. A Code of Practice 2010
Investigations – where surveillance did not result in proceedings				
18.3	Investigations	2 years from last action	<ul style="list-style-type: none"> Application Authorisations Products of surveillance 	R. I. P. A Code of Practice 2010
19 HEALTH & SAFETY ACCIDENT INVESTIGATIONS (addendum)				
19.1	Accident Investigations	Destroy 12 years from end of investigation	<ul style="list-style-type: none"> Witness statements Investigation reports Photographs 	V.O.G.C.
20 SCHOOL ADMISSION FORMS				
20.1	School Admission Forms	Destroy 2 years after end of the academic year record was created	<ul style="list-style-type: none"> Admission Forms 	V.O.G.C.
21 INDEPENDENT SCHOOL ADMISSIONS AND APPEAL PANEL				
21.1	Independent School Admissions and Appeal Panel	21 Years from the year of determination	<ul style="list-style-type: none"> Documentation in relation to Appeals 	V.O.G.C.