

**Revised – January 2018**

**Adopted – January 2014**

**Information Retention Schedule**

**[All Departments](#CorporateProcesses)**

* Management & Administration
* Individual Councillor Files / Admin
* General Information Files / Miscellaneous Files
* Statutory Return
* Policy, Procedures, Strategy and Structure
* Public Consultation
* Information Management
* Enquiries & Complaints
* [Media Relations](#Mediarelations)
* Marketing
* Legal & Contracts
* Evaluation of Tender
* Pre Contract Advice
* Specification and Contract Development
* Tender Issuing and Return
* Litigation
* Document Scanning
* Corporate Planning and Reporting
* Partnership/Agency and External Meetings
* Performance Management

[**Corporate Services**](#CorporateServices)

* Press / Public Relations

**[IT and Corporate Resilience](#IT)**

* Information Governance
* Corporate Website
* Emergency Planning

**[Governance & Legal](#DemocraticServices)**

* Committees Services
* Litigation
* Advice
* Funding or Service Level Agreements
* Conveyancing
* Contracts & Tendering

**[Elections / Electoral Registration](#Elections)**

* Elections / Electoral Registration
* Political Parties Papers
* Complaints Against Members Code of Conduct
* Councillors Disclosable Pecuniary Interest Forms

[**Finance, Revenues & Benefits**](#FinanceRB)

* Budget Management / Accountancy
* [Payroll, Payments](#PayrollAndPayments) and Income
* Procurement
* Internal Audit
* Insurance
* Council Tax
* National & Non-Domestic Rates
* Benefits
* Fraud Investigations
* Health and Safety

[**Property Services**](#property)

* Corporate Asset Management
* Asset Monitoring & Maintenance
* Asset Acquisition & Disposal
* Asset Leasing & Occupancy

**[People, Performance & Projects](#People)**

* Personal Administration
* Employee & Industrial Relations
* Equal Employment Opportunities
* Occupational Health
* Recruitment
* Staff Monitoring
* [Termination](#Termination)
* Training & Development
* Appointment of Statutory Officers

[**Operational Services**](#Lifeopps)

[**Housing and Environmental Health**](#Housing)

* Private Sector Housing
* Housing Provision
* Tenancy Management
* Environmental Health

**[Building and Engineering](#Building)**

* Facilities
* Engineering
* Street Scene
* Coastal Protection

**[Sport & Leisure](#sportleisure)**

* Seafronts

**[Customer & Commercial](#customer)**

* Courier
* Licensing

[**Public Realm**](#publicrealm)

* Bereavement
* Open Space
* Parking

[**Planning and Regeneration**](#Planningregen)

[**Planning Policy**](#planningpolicy)

[**Building Control**](#buildingcontrol)

[**Support and Development**](#SupportandDevelopment)

[**Land Charges**](#landcharges)

[**Regeneration**](#regeneration)

* Inward investment & Growth
* Jaywick Neighbourhood Team
* Tendring Regeneration Limited (dissolved on 8th September 2015)

**[Leadership Support and Community](#leadership)**

**[Community Safety](#Community)**

[**Members**](#leadership)

[**Honours and Submission**](#leadership)

**Corporate Functions (All Departments)**

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Function Description** | **Purpose / Use** | | **Retention Period** | **Statutory** | **Non-Statutory** | | **Example of Records / Format** | |
| **Management & Administration** | | | | | | | | |
|  | Correspondence with the public or external organisations which cannot be linked and stored with other records relating to a specific process e.g. a Case File/Project File/ Initiative File/Request for Information under legislation | | Destroy after 1 year if there is no further action or addition |  | Common Practice | | General  Correspondence   * Letters * Emails * Faxes | |
| **individual Councillor Files / Admin** | | | | | | | | |
|  | Individual District Councillor information which cannot be linked and stored with other records relating to a specific process | Retain in accordance with term as a District Councillor | |  | |  | | * General Files |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Function Description** | **Purpose / Use** | **Retention Period** | **Statutory** | **Non-Statutory** | **Example of Records / Format** |
| **General Information Files / Miscellaneous Files** | | | | | |
|  | Files (paper) or Folders  (electronic - including e-mail)  containing records for which  there is no identified process or function in the Retention  Schedule | No file should remain open  for more than 5 years and  may be closed at any time within that period based on monitoring of usage and additions If closed, and new activity begins, a new volume of the file should be created and the retention period of the old volume be brought in line with the new volume  Destroy after 1 year from closure if there is no further action or addition  The limitation period for any contractual matter is 6 years | 5 year rule  specified in Code of Practice on  Records  Management under  s46 Freedom of Information Act 2000 |  | * General Files |
| **Statutory Return** | | | | | |
|  | The process of preparing information to be passed on to central government as part of statutory requirements | Destroy 7 years from closure |  | Common practice | * Reports to Central Government |

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Function Description** | **Purpose / Use** | **Retention Period** | | **Statutory** | | **Non-Statutory** | | **Example of Records / Format** | |
| **Policy, Procedures, Strategy and Structure** | | | | | | | | | |
|  | Activities that develop policies, procedures, strategies and structures for the local authorities | | Destroy 6 years after approval and implementation of new/updated policy  NB. The author of the policy will hold the information for 6 years  Only the author to retain draft policy documentation | |  | |  | | * Policy, procedure, precedent, instructions * Organisation charts * Records relating to policy approval, implementation and development |
| **Public Consultation** |  | |  | |  | |  | |  |
|  | The process of consulting the public and staff in the development of significant policies of the local authority | | Destroy 5 years from closure  NB. Head of Service to determine the status of ‘minor’ policy | |  | | Common Practice | | * Consultants reports * Questionnaires |
|  | The process of consulting the public and staff in the development of minor policies of the local authority | | Destroy 1 year from closure of the consultation | |  | | Common Practice | | * Customer Focus Group |
| **Information Management** | | | | | | | | | |
|  | The activity whereby standards, authorities, restraints and verifications are introduced and maintained to manage information effectively | | Retain for 5 years | |  | |  | | * Classification schemes * Registers * Indexes   Authorised lists of file headings |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Function Description** | **Purpose / Use** | **Retention Period** | **Statutory** | **Non-Statutory** | **Example of Records / Format** |
|  | The management of collections of records transferred to the archives | Permanent – Offer to Archivist  NB. The Archivist refers to the archive section of the Essex Records Office |  |  |  |
|  | The process that records the disposal of records | Permanent – Offer to Archivist |  |  | Disposal certificates |
| **Enquiries & Complaints** | | | | | |
|  | The management in summary form of enquiries and complaints directed to council | Permanent - Offer to Archivist for review Transfer to Essex Record Office after administrative  use is concluded |  | Common Practice | Indexes / Registers |
|  | The management of enquiries, submissions and complaints which result in significant changes to policy or procedures | Permanent- Offer to Archivist for review Transfer to Essex Record Office after administrative  use is concluded |  | Common Practice | * Reports * Returns   Correspondence |
|  | The management of detailed responses on council actions, policy or procedures | Destroy 5 years after administrative use is concluded  NB. Head of Service to determine the status of response (detailed/routine) |  | Common Practice | * Reports * Returns * Correspondence   Ombudsman Decisions |
|  | The management of routine responses on council actions, policy or procedures | Destroy 2 years after administrative use is concluded |  | Common Practice | * Printed material * Form letters |
|  | The process of investigating complaints | Destroy after 12 months |  | Common Practice in line with Tech Services Association | * Voice Recordings |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Function Description** | **Purpose / Use** | **Retention Period** | **Statutory** | **Non-Statutory** | **Example of Records / Format** |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **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 Essex  Record Office after administrative use is concluded |  | Common Practice | * Press cuttings * Media reports |
| **Marketing** |  |  |  |  |  |
|  | The process of developing and promotion of local authorities campaigns and events | Permanent- Offer to Archivist Transfer to Essex  Record Office after administrative use is concluded |  | Common Practice | * Visitors’ book * Audio tapes * Video tapes * Photographs |
| **Legal & Contracts** | | | | | |
|  | The process awarding of contract or service level agreement | Contracts and Service Level Agreements (less than £50,000) Destroy 6 years after the terms of contract have expired  Contracts Under Seal (more than £50,000) Destroy 12 years after the  terms of contract have expired | Limitation Act 1980 |  | * Authority to award the contract (Officer or Portfolio Holder Decision) * Signed contract |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Function Description** | **Purpose / Use** | **Retention Period** | **Statutory** | **Non-Statutory** | **Example of Records / Format** |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Contract Management, Operations and monitoring | Destroy 6 or 12 years after the contract ends (same period as the contract documentation) |  | Common Practice | * Correspondence between the Contract Manager and the Supplier, including emails |
|  | Variation and amendment of contract | Ordinary Contracts  Destroy 6 years after the terms of contract have expired  Contracts Under Seal Destroy 12 years after the  terms of contract have expired | Limitation Act 1980 |  | By agreement or correspondence |
| **Evaluation of Tender** | | | | | |
|  | Summary tender evaluation  Criteria | Ordinary Contracts  Destroy 6 years after the terms of contract have expired  Contracts Under Seal Destroy 12 years after the  terms of contract have expired | Limitation Act 1980 |  | * Evaluation criteria |
|  | Successful tender document | Ordinary Contracts  Destroy 6 years after the terms of contract have expired  Contracts Under Seal Destroy 12 years after the  terms of contract have expired | Limitation Act 1980 |  | * Complete tender submission |
|  | Unsuccessful tender documents | Destroy 1 year after the date of the  Contract |  | Common Practice | * Tender documents * Quotations |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Function Description** | **Purpose / Use** | **Retention Period** | **Statutory** | **Non-Statutory** | **Example of Records / Format** |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Pre Contract Advice** | | | | | |
|  | The process of calling for expressions of interest | Destroy 2 years after contract awarded or not proceeded with |  | Common Practice | * Expressions of Interest |
| **Specification and Contract Development** | | | | | |
|  | The process involved in the development and specification of a contract | Ordinary Contracts  Destroy 6 years after the terms of contract have expired  Contracts Under Seal Destroy 12 years after the  terms of contract have expired | Limitation Act 1980 |  | - Tender specification  \* Note: For project files  containing drafts  leading to a final  version these records |
| **Tender Issuing and Return** | | | | | |
|  | The process involved in the  issuing and return of a tender | Destroy 1 year after the date of the Contract |  | Common Practice | * Opening notice * Tender envelope |
| **Litigation** | | | | | |
|  | The process of authorising, commencing managing,  undertaking or defending litigation on behalf of the local authority | Destroy 7 years after last action or addition  Once the litigation has concluded all court paperwork should be with the Legal team (none should be retained by departments) |  | Common Practice | * Criminal case file * Civil case file * Correspondence |

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Function Description** | **Purpose / Use** | **Retention Period** | | **Statutory** | | **Non-Statutory** | **Example of Records / Format** | |
| **Document Scanning** | | | | | | | | |
| Document Scanning Process | To retain Electronic records | | Unless retention action is governed by statutory legislation – see relevant departmental submissions; Keep paper copies for as long as is necessary to verify that scanning has been successful and indexing has taken place | | Refer to legal basis for statutory service to identify specific requirements | Common Practice | | * Both incoming and outgoing documentation of any type |
|  |  | | Consideration must be given to ensure appropriate destruction method is followed (e.g. confidential waste service) | |  |  | |  |
| **Corporate Planning & Reporting** | | | | | | | | |
|  | The process of preparing business for strategic consideration and making the record of discussion, debate and resolutions | | Permanent - Offer to  Archivist Transfer to Essex Record Office after administrative use is concluded  (Decisions retained for 6 years) | |  | Common Practice | | * Strategic Management Team minutes / agendas * Reports and decisions * Supporting documentation |
|  | The process of preparing business for cross departmental  consideration and making the record of discussion, debate and resolutions | | Destroy 3 years from closure  (Decisions retained for 6 years) | |  | Common Practice | | * Reports and decisions * Supporting documentation * Query whether drafts/comments should be held by all departments |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Function Description** | **Purpose / Use** | **Retention Period** | **Statutory** | **Non-Statutory** | **Example of Records / Format** |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | The process of preparing  business for service area / departmental  consideration and making the record of discussion, debate and resolutions | Destroy 3 years from closure  (Decisions retained for 6 years) |  | Common Practice | * Departmental Team meeting agendas / minutes * Officer decisions |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Partnership, Agency and External Meetings** | | | | | |
| Corporate | 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 |  | Common Practice | Documents establishing the Committee:   * Agendas/Minutes * Council Reports * Recommendations and Decisions * Supporting documents * Documents establishing the Committee |  |
|  | The process of preparing business for external committees’ consideration, and making the record of discussion, debate and resolutions, where the Local Authority does not own the record | Destroy 3 years after last action |  | Common Practice | Documents establishing the  Committee:   * Reports * Recommendations and Decisions * Supporting documents, such as briefing and discussion papers |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Function Description** | | **Purpose / Use** | **Retention Period** | **Statutory** | **Non-Statutory** | **Example of Records / Format** |
| **Performance Management** | | | | | |
| Quality & Performance Management | Monitoring or reviewing  the quality, efficiency,  or performance of the  Council or an individual  unit | Destroy 3 years from closure  Any reports and decisions will be published and retained for 6 years with background material being available for 4 years, the service need only keep documentation dating back 3 years |  | Common Practice | * Performance Reports, those which are reported to Cabinet or Committees, must be kept for 3 years by service only * Departmental Plans |
|  | The process of monitoring or reviewing the quality, efficiency, or performance of a local authority service or unit | Destroy 2 years from closure |  | Common Practice | * Performance Reports, those which are reported to Cabinet or Committees must be kept for 6 years * Departmental Plans |

**Corporate Services  
Press / Public Relations**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Service Area** | **Purpose / Use** | **Retention Action** | **Statutory** | **Non-Statutory** | **Example of Records / Format** |
| **Including the following functions:** | | | | | |
|
|  | The process of designing setting information for publication | Destroy 3 years from last action |  | Common Practice | -       Draft press releases |
| -       Photographs |
|  | The published work of the local authority | Destroy after administrative use is concluded |  | Common Practice | -       Press releases |
| Note: 1 copy from the initial print run should go directly to the archive |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **IT and Corporate Resilience** | | | | | | |
| **Service Area** | **Purpose / Use** | **Retention Action** | **Statutory** | | **Non-Statutory** | **Example of Records / Format** |
| **Including the following functions:** | | | | | | |
| **Information Governance** | | | | | | |
|  | Requests for Information dealt  with under the provisions of Data Protection Legislation, the Freedom of Information Act 2000 (FOI) | Requests for  Information dealt with under the  Environmental Information  Regulations 2005 (EIR) | The request itself,  associated records and any records to which the request applies should not be destroyed until TDC’s Data Protection Act (DPA) Officer is satisfied that the requestor does not wish to pursue an appeal or the appeal process has been  exhausted The documentation should be closed and then destroyed after 3 years | | Data Protection Principles | Common Practice | Access to information requests |
| **Corporate Website** | | | | | | |
| See **Management & Administration** Criteria above |  |  | |  |  |  |
| **See Enquires & Complaints** criteria above |  |  | |  |  |  |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Service Area** | **Purpose / Use** | **Retention Action** | **Statutory** | **Non-Statutory** | **Example of Records / Format** |
| See **Information Governance** criteria above |  |  |  |  |  |
| **Emergency Planning** | | | | | |
| Process to develop the emergency/disaster plan for the local community |  | All documents will be retained until they are either replaced, superseded or cancelled by the Author |  | Common practice | * Maps, premises details, military information |
| Process of recording the results of the test for emergency/disaster plan for the local community |  | Destroy 7 years after closure |  | Common practice |  |
| Activities that report on all major incidents in the community |  | Permanent |  | Common practice | - Details of all major incidents in the local community, whether the Emergency Plan the Emergency Plan |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Governance & Legal** | |  |  |  |  |
| **Service Area** | **Purpose / Use** | **Retention Action** | **Statutory** | **Non-Statutory** | **Example of Records / Format** |
| **Including the following functions:** | | | | | |
| **Committee Services** | | | | | |
| Corporate | The process of preparing business for Council consideration and making the record of discussion, debate and resolutions | Destroy after 6 years Electronic copy kept in archive folder on network through modern.gov or similar software | Section 100c - Local Government Act 1972 and Regulation 8 of the Openness of Local Government Bodies Regulations 2014 |  | -       Council minutes |
| -       Council agenda and business   papers Council notice papers and proceedings |
| -   Records of executive decisions taken |
| -       Cabinet, Committees (including Overview & Scrutiny) Agenda and Minutes  - Audio recordings  - Officer Decisions including Reports |
| Corporate | Background Papers to Council and Committee meetings | Destroy after 4 years when a decision is made in accordance with the legislation | Regulation 8 of the Openness of Local Government Bodies Regulations 2014 |  | -       Any unpublished document that relates to the subject matter of the decision or, part of the decision, and discloses any facts or matters on which an important part of the decision is based and was relied upon in making the decision. |
| Corporate | Minute taking | Destroy after date of confirmation of the minutes |  | Common Practice | -       Draft/rough minutes |
|  |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Service Area** | | **Purpose / Use** | **Retention Action** | **Statutory** | **Non-Statutory** | **Example of Records / Format** |
| **Litigation** | | | | | | |
| **See Litigation Above** | | | | | | |
| **Advice** | | | | | | |
| Legal Advice | General advice to Departments | | Destroy 3 years after the last advice given |  | Common Practice | -       Internal e-mails  - correspondence with external solicitors and counsel providing advice and opinions |
| External Legal Advice received | | Destroy 3 years after advice given with discretion to retain for reference purposes |
| **Funding or Service Level Agreements** | | | | | | |
|  | Process of negotiating and agreeing terms between public sector organisations | | Destroy 6 years after the subject matter of the Agreement and any dispute has expired |  |  |  |
|  |
| -       Correspondence  - authority to enter into agreement  -   Completed Agreements |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Service Area** | | **Purpose / Use** | **Retention Action** | **Statutory** | **Non-Statutory** | **Example of Records / Format** |
| **Conveyancing** | | | | | | |
|  | The process of changing ownership of land or property | | Destroy 12 years after transaction completed |  |  | -       Correspondence on files |
|  |  | | Archive in Strong room with Deed Packets until Council’s interest in property ceases but retain leases and tenancies where TDC is landlord | Limitations Act 1980 |  | -       Leases/Transfers etc. |
| **Contracts & Tendering** | | | | | | |
|  | The process awarding of contract | | Ordinary Contracts Destroy 6 years after the terms of contract have expired | Statutory requirement |  |  |
| Contracts Under Seal destroy 12 years after the |
| terms of contract have expired  Reports and published Decision Notices to be kept for 6 years in accordance with 2014 Openness Regulations |

**Elections**

|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | **Service Area** | **Purpose / Use** | **Retention Action** | **Statutory** | **Non-Statutory** | **Example of Records / Format** | | | | | | |
| **Elections/Electoral Registration** | | | | | |
| Elections Documentation | Administering an election | Store securely then destroy after 1 year following poll | Representation of the People Act 1983 |  | -       Nomination Papers |
| European Parliamentary Elections Regulations 2004 | -       Ballot Papers |
| Local Elections (Principal Areas) (England and Wales) Rules 2006 | -       Statutory Notices |
| Local Elections (Parishes and Communities) (England and Wales) Rules 2006 | -       Marked Registers |
| The Local Authorities (Conduct of Referendums) (England) Regulations 2012 | -       Corresponding Number Lists  - Postal Voting Statements |
|  |  |
| **Service Area** | **Purpose / Use** | **Retention Action** | **Statutory** | **Non-Statutory** | **Example of Records / Format** |
| UK Parliamentary Election – Candidate’s Home Address Form | Required to be submitted by all Candidates as part of nomination process | Store securely then destroy 21 days following poll | Representation of the People Act 1983 |  | -       Candidate’s Home Address Form |
| The Political Parties and Elections Act 2009 |
| Declaration of Expenses returns | Required to be submitted by all Candidates following a poll | Store securely and destroy after 1 year | Representation of the People Act 1983 |  | -       Declaration of Expenses returns |
| To check eligibility of Overseas Voter applications | Current Year | Permanent | Representation of the People Acts 1983 and 1985 |  | -       Electoral Register |
| * For use at any election held in the current year | European (Franchise) Regulations 2001 | -       Voter Registration Forms/Household Registration Forms |
| Past Years  -       For public inspection during life of Register  -       Supply for research purposes | Electoral Administration Act 2006 |  |
| **Service Area** | **Purpose / Use** | **Retention Action** | **Statutory** | **Non-Statutory** | **Example of Records / Format** |
| To check eligibility of Overseas Voter applications | To check application details and record electors’ personal identifiers (signature and date of birth) | Permanent | Representation of the People Acts 1983 and 1985 |  | -       Application to Vote by Post, Proxy or Postal Proxy |
| Absent Vote Application Form and Absent Voter Signature Refresh Forms | To check application details and record electors’ personal identifiers (signature and date of birth) | Stored electronically for life of application | Electoral Administration Act 2006 |  | -       Absent Voter Signature Refresh Form |
| Electoral Administration Act 2006 | -       Absent Voter Signature Refresh Form |

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Political Parties Papers** | | | | | | | | | | |
| Corporate | | Recording of Signed For Mail | | Destroy after 2 years | |  | | Common Practice | -       Sheets giving details of tracking number and name of recipients | |
| **Complaints Against Member’s Code of Conduct** | | | | | | | | | | |
| Complaints received against Members’ Code of Conduct under standards framework (Localism Act 2011) and Council’s arrangements’ | Original complaint form and associated correspondence to keep for Elected Members term of office and then destroy both hard copy and electronic copy | | Reports and published Decision Notices to be kept for 6 years in accordance with 2014 Openness Regulations | | Common Practice | | -       Complaint forms | | | -       Correspondence |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Service Area** | **Purpose / Use** | **Retention Action** | **Statutory** | **Non-Statutory** | **Example of Records / Format** |
| **Councillors Disclosable Pecuniary Interest Forms** | | | | | |
|  | District and Town and Parish Councillors Disclosable Pecuniary Interest Forms submitted upon election to the District Council or Town/Parish Council | Original form keep for six months after the end of the Elected Members term of office and then destroy both hard copy and electronic copy |  | Common Practice | -       Disclosable Pecuniary Interest  Form   * Correspondence |

**Finance, Revenues & Benefits**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Service Area** | **Purpose / Use** | **Retention Action** | **Statutory** | **Non-Statutory** | **Example of Records / Format** |
| **Including the following functions:** | | | | | |
|
| **Budget Management / Accountancy** | | | | | |
|
| Statement of Accounts | Final financial position for the year | Permanent |  | Common practice | -       Statement of Accounts |
| Interim/periodic reporting | Monthly/quarterly reporting/monitoring | Destroy when administrative use is concluded |  | Common practice | -       Excel based reports |
| Annual Budget | Council approved annual budget | Permanent |  | Common practice | -       Final budget report |
| Budget support papers | Supports budget preparation, financial modelling etc. | 6 years plus current year |  | Administrative use | -       Estimate working papers, government notifications etc. |
| **Payroll, Payments and Income** | | | | | |
| Annual accounting records and transactions including VAT and Treasury records | Supports all financial processes including the statement of accounts | Destroy after 6 years plus current year | Limitation Act 1980 and HMRC Guidance |  | -       Financial transactions, working papers and reports to support the final accounts process |
| **Procurement** | | | | | |
| Purchasing processes and approval | Purchase of goods and services | Destroy after 7 years plus current year | Statutory as set out in RGLA |  | -       Purchase orders/approvals, goods receipt records and records relating to the linking up to public sector contracts |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Service Area** | **Purpose / Use** | **Retention Action** | **Statutory** | **Non-Statutory** | **Example of Records / Format** |
| **Internal Audit** | | | | | |
| Internal Auditing | Audit reporting and supporting evidence | Destroy after 6 years plus current year |  | Current practice | -       Audit Reports |
| -       Audit Working Papers |
| -       Audit Scopes |
| -       Follow ups |
|  | Internal Audit Planning | Destroy after 6 years plus current year |  | Current practice | -       Internal Audit Plans |
| -       Internal Audit Plan working papers |
|  | Operational manuals and Charter | Destroy 1 year after superseded or obsolete |  |  | -       Internal Audit Charter |
| -       Internal Audit Manual |
| -       Internal Audit Procedure Guides / Notes |
| Consultancy and Advice | Advice to departments | Destroy once superseded or obsolete |  |  | -       Exchange of emails |
| -       Procedure notes |
| **Insurance** | | | | | |
| Employers Liability | Advice to Staff / Departments | Retain for 40 years from date of issue | The Employers’ Liability |  | -       Insurance liability documents |
| Insurance Policy Documentation | Advice to Staff / Departments | Destroy after 7 years |  | Common Practice | -       Insurance Schedules |
| The schedule of liability orders for recovery of non-payment and overpayments |  | Paper copies to be kept 6 years + current year –more is subject to continuing recovery action |  | Common Practice |  |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Service Area** | **Purpose / Use** | **Retention Action** | **Statutory** | **Non-Statutory** | **Example of Records / Format** |
|  |  | Electronic data including DIP to be retained subject to archiving in line with software restrictions |  |  |  |
| **Council Tax** | | | | | |
| All data relating to the collection of Council Tax |  | Electronic data including DIP to be retained subject to archiving in line with software restrictions | Retention Guidelines for Local Authorities |  | -       Notifications, bills, correspondence, objections, reports |
| -       Notices, applications, notices of acquisition and disposition, rate property files |
| The valuation of rateable land within a municipal district for the purpose of the Making of the rate |  | Permanent | Retention Guidelines for Local Authorities 721 |  | -       Valuation Office Agency Rating List |
| Offer to archivist |
| after the end of administrative use and destroy any duplicates |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Service Area** | **Purpose / Use** | **Retention Action** | **Statutory** | **Non-Statutory** | **Example of Records / Format** |
| **National & Non-Domestic Rates** | | | | | |
| The recording of information for non-domestic properties identifying the person or company rated, including details of the rateable value of the property |  | Electronic data including DIP to be retained subject to archiving in line with software restrictions |  | Common practice | -       Valuation Office Agency Rating List |
|
| The activity of corresponding with rate payers in relation to all matters including  valuations, |  | Electronic data including DIP to be retained subject to archiving in line with software restrictions |  | Common practice | -       Letters, direct debit instructions, application forms, financial statements etc. |
| charges, objections, appeals, rate relief & other rates related matters |
| Schedule of Liability Orders for recovery of non-payment together with court correspondence |  | Electronic data including DIP to be retained subject to archiving in line with software restrictions |  | Common practice |  |
| **Benefits** | | | | | |
| Allocation and management of income related benefit by local authority |  | Electronic data including DIP to be retained subject to archiving in line with software suppliers recommendations |  | Common practice | -       Notices, documents from outside agencies, applications, correspondence, personal details including income & capital |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Service Area** | **Purpose / Use** | **Retention Action** | **Statutory** | **Non-Statutory** | **Example of Records / Format** |
| The registration of individuals income related benefits applications |  | Electronic data including DIP to be retained subject to archiving in line with software restrictions |  | Common practice | -       Notices, documents from outside agencies, applications, correspondence, personal details including income & capital |
| **Fraud Investigations** | | | | | |
| 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 |  | Common Practice | -       Prosecution/sanction files |
|
| **Health & Safety** | | | | | |
| Health and Safety | Records of injuries, accidents and exposure to harmful substances such as asbestos | Health surveillance records destroyed after 40 years  Accident records destroyed after 3 years | Health & Safety at Work etc. Act 1974 and associated legislation made under the Act |  | -       Accident records |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Service Area** | **Purpose / Use** | **Retention Action** | **Statutory** | **Non-Statutory** | **Example of Records / Format** |
| Health and Safety – equipment inspection records | To record equipment safety inspections | Records retained for the life of the equipment | Health & Safety at Work etc. Act 1974 and associated legislation made under the Act |  | -       Inspection of grass cutting equipment |
| Health and Safety risk assessments | To record the risk assessment of activities | Retain only the current record | Health & Safety at Work etc. Act 1974 and associated legislation made under the Act |  | -       Risk assessment of grass cutting machinery |
| Health and Safety monitoring checks | To record checks made of equipment | Destroy after 1 year | Health & Safety at Work etc. Act 1974 and associated legislation made under the Act |  | -       Fridge temperatures, legionella checks, swimming pool checks |

**Property Services**

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Service Area** | **Purpose / Use** | | **Retention Action** | **Statutory** | | **Non-Statutory** | | **Example of Records / Format** |
| **Including the following functions:** | | | | | | | | |
| **Corporate Asset Management** | | | | | | | | |
|  | Reports to management on overall property of the local authority | | Permanent Offer to Archivist  Transfer to place of deposit after administrative use is concluded |  | | Common Practice | | * Consolidated property and buildings annual reports * Summary of leased property * Summary of local authority’s owned property * Site register of leases |
| **Asset Monitoring & Maintenance** | | | | | | | | |
|  | | Management systems that allow the monitoring and management of assets in summary form | Destroy 7 years after the conclusion of the financial transaction that the record supports |  | Common Practice | | * Subsidiary asset registers | |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Service Area** | **Purpose / Use** | **Retention Action** | **Statutory** | **Non-Statutory** | **Example of Records / Format** |
|  | Process of reporting and reviewing assets status | Destroy 2 years after administrative use is concluded | Any reports and decisions will be published and retained for 6 years with background material being available for 4 years, with the Service holding information for 3 years only | Common Practice | * Routine returns and reports on asset status * Inventories * Stocktaking * Surveys of usage * Acquisition and disposal reports and proposals |
| **Asset Acquisition & Disposal** | | | | | |
|  | Management of the acquisition (by financial lease or purchase) and disposal (by sale or write off) process for assets | If under £50,000  Destroy 6 years  If over £50,000  Destroy 12 years  After all obligations/entitlements are concluded | Statutory |  | * Legal documents relating to the purchase/sale * Particulars of sale documents * Board of survey * Leases * Applications for leases, licences and rental revision * Tender documents * Conditions and contracts * Certificates of approval |

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Service Area** | | **Purpose / Use** | | **Retention Action** | **Statutory** | | **Non-Statutory** | | **Example of Records / Format** | |
| **Asset Leasing & Occupancy** | | | | | | | | | | |
|  | The process of managing leased property | | Destroy 15 years after the expiry of the lease | | |  | | Common Practice | | * Lease agreements * Valuation queries * Applications for leases, licences and rental revision |
|  | The process of managing the occupancy of the property | | Destroy 7 years after the conclusion of the transaction that the record supports | | |  | | Common Practice | | * Rent reviews, requests for works etc. |

**People, Performance & Projects**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Service Area** | **Purpose / Use** | **Retention Action** | **Statutory** | **Non-Statutory** | **Example of Records / Format** |
| **Including the following functions:** | | | | | |
| **Personal Administration** | | | | | |
| PPP | Summary Management Systems that allow the monitoring and management of employees in summary form  Note: The summary information that this record class attempts to capture is:-  Name  DOB  Date of Appointment  Work History Details  Position/designation  Titles & dates held | Destroy after 6 years | Section 5 Limitation Act 1980 and Data Protection Act 1998 |  | * Employment Register * Permanent Staff Employment Register * Temporary Staff   Employment Register   * Casual Staff   Registers of personnel files  Personal History cards  Salary master record  Source documents must be retained under the rules of court of tribunal procedure |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Service Area** | **Purpose / Use** | **Retention Action** | **Statutory** | **Non-Statutory** | **Example of Records / Format** |
| PPP  Financial Services | The process of administering employees to ensure that entitlements and obligations are in accordance with agreed employment requirements  Records containing superannuation information | Destroy 6 years from termination date | Section 5 Limitation Act 1980 and Data Protection Act 1998 |  | * Medical clearance * Letter of appointment * Letter of acceptance * Details of assigned duties * Probation reports * Medical examinations * Personal particulars * Educational qualifications * Declarations of pecuniary interests * Secrecy undertakings * Employment contracts   Source documents must be retained under the rules of court of tribunal procedure |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Service Area** | **Purpose / Use** | **Retention Action** | **Statutory** | **Non-Statutory** | **Example of Records / Format** |
| PPP | Records relating to staff working with children | Destroy 6 years from termination date | Section 5 Limitation Act 1980 and Data Protection Act 1998 |  | Source documents must be retained under the rules of court of tribunal procedure |
| All Departments | All other records | Destroy 6 years from termination date  A job description will be always be reviewed If there is a significant change this will then be put forward for Job Evaluation | Section 5 Limitation Act 1980 and Data Protection Act 1998 |  | * Job Descriptions   Source documents must be retained under the rules of court of tribunal procedure |
| **Employee & Industrial Relations** | | | | | |
| PPP | Identification and development of significant directions concerning industrial matters  Claims Lodged | Retain until superseded  Destroy after issue resolved | Section 5 Limitation Act 1980 and Data Protection Act 1998 |  | * Generic agreements and awards * Negotiations * Disputes * Claims lodged   Source documents must be retained under the rules of court of tribunal procedure |
| All Departments Lead by PPP | Liaison processes of minor and routine industrial matters | Destroy 2 years after administrative use is concluded | Section 5 Limitation Act 1980 and Data Protection Act 1998 |  | * Daily industrial relations management   Source documents must be retained under the rules of court of tribunal procedure |
| **Service Area** | **Purpose / Use** | **Retention Action** | **Statutory** | **Non-Statutory** | **Example of Records / Format** |
| All Departments Lead by PPP | Processing of disciplinary and grievances investigations where proved | Oral warning- 6 months  Written Warning- 1 year  Final Warning- 1 Year  The above warnings to be removed and destroyed after the relevant time have ‘spent’ Warnings involving Children- Placed on personal file permanently | Section 5 Limitation Act 1980 and Data Protection Act 1998 |  | * Disciplinary   Source documents must be retained under the rules of court of tribunal procedure |
| All Departments Lead by PPP | Processing of disciplinary and grievances investigations were unfounded | Destroy immediately after the grievance has been unfounded; or after appeal | Section 5 Limitation Act 1980 and Data Protection Act 1998 |  | * Disciplinary   Source documents must be retained under the rules of court of tribunal procedure |
| **Equal Employment Opportunities** | | | | | |
| All Departments Lead by PPP | 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  Destroy 6 months after recruitment finalised | Section 5 Limitation Act 1980 and Data Protection Act 1998 |  | * Interview assessment form   Source documents must be retained under the rules of court of tribunal procedure |

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Service Area** | | **Purpose / Use** | | **Retention Action** | | **Statutory** | | **Non-Statutory** | | **Example of Records / Format** |
| **Occupational Health** | | | | | | | | | | |
| PPP | | The process of checking and ensuring the health of staff | | Destroy 6 years from termination date | | Section 5 Limitation Act 1980 and Data Protection Act 1998 | |  | | * Health questionnaire * Medical clearance |
| **Recruitment** | | | | | | | | | | |
| All Departments Lead by PPP | The Selection of an individual for an established position | | Destroy 6 months after recruitment finalised | | Section 5 Limitation Act 1980 and Data Protection Act 1998 | |  | | * Advertisements * Applications * Referee reports * Interview reports * Unsuccessful applicants   Source documents must be retained under the rules of court of tribunal procedure | |
| **Staff Monitoring** | | | | | | | | | | |
| All Departments | Performance | | Destroy 6 years after action termination  (formal warnings given under the Capability Procedure will be removed and destroyed after 2 years satisfactory performance) | | Section 5 Limitation Act 1980 and Data Protection Act 1998 | |  | | * Probation Reports * Personal Action Plans   Source documents must be retained under the rules of court of tribunal procedure | |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Service Area** | **Purpose / Use** | **Retention Action** | **Statutory** | **Non-Statutory** | **Example of Records / Format** |
| All Departments | Process of monitoring staff leave and attendance | Destroy 6 years from termination date | Section 5 Limitation Act 1980 and Data Protection Act 1998 |  | * Sick leave * Jury service * Study leave * Special and personal leave * Attendance books * Flexitime sheets * Leave applications * Clock on/off cards * Annual leave   Source documents must be retained under the rules of court of tribunal procedure |
| **Termination** | | | | | |
| All Departments lead by PPP | The process of termination of staff through voluntary redundancy, dismissal and retirement  This will relate to Ill Health Retirement Not all payments are final and could potentially be reviewed depending on which tier the individual retires on | Destroy 6 years after termination date | Section 5 Limitation Act 1980 and Data Protection Act 1998 |  | * Resignation * Redundancy (section 188) * Dismissal * Death * Retirement   Source documents must be retained under the rules of court of tribunal procedure |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Service Area** | **Purpose / Use** | **Retention Action** | **Statutory** | **Non-Statutory** | **Example of Records / Format** |
| **Training** | | | | | |
| All Departments | Routine Staff training processes, not occupational health and safety or children related | Destroy 6 years termination date | Section 5 Limitation Act 1980 and Data Protection Act 1998 |  | * Course individual staff assessment * MDPP’s |
| All Departments | Training (Concerning children) | Destroy 35 years after training completed, or last entry | Section 5 Limitation Act 1980 and Data Protection Act 1998 |  | * Course individual staff assessment * Training register   **Source documents must be retained under the rules of court of tribunal procedure** |
| All Departments | Training (occupational health and safety training) | Destroy 50 years after training completed  Individual course  Assessment records should be destroyed once the training has been renewed every 3 years | Section 5 Limitation Act 1980 and Data Protection Act 1998 |  | * OH & S training register   **Source documents must be retained under the rules of court of tribunal procedure** |
| All Departments lead by PPP | Training (materials) | Destroy after course is superseded | Section 5 Limitation Act 1980 and Data Protection Act 1998 |  | **Source documents must be retained under the rules of court of tribunal procedure** |

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Service Area** | **Purpose / Use** | | **Retention Action** | | **Statutory** | | | **Non-Statutory** | **Example of Records / Format** |
| All Departments lead by PPP | | Training (proof of completion) | | Destroy 6 years from termination date | | Section 5 Limitation Act 1980 and Data Protection Act 1998 |  | | * Certificates Awards * Exam results |
| **Appointment of Statutory Officers** | | | | | | | | | |
| Corporate | The appointment of an individual for a position of a Statutory Officer | | Reports to Council are retained for 6 years, with background papers being available for 4 years | | Section 5 Limitation Act 1980 and Data Protection Act 1998 | | |  | * Appointment files * Monitoring Officer * Section 151 Officer * Chief Executive(Head of Paid Service) |
| Corporate | The process of selection of an individual for an statutory position  (Head of Paid Service) | | Destroy 2 years after date of appointment | | Section 5 Limitation Act 1980 and Data Protection Act 1998 | | |  | * Vacancies & applications records * Interview notes * Prospective staff records * Registers of applicants * Unsuccessful * Applicants records |

**Operational Services**

**[Housing](#Housing)**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Function Description** | **Purpose / Use** | **Retention Action** | **Statutory** | **Non-Statutory** | **Example of Records / Format** |
| **Private Sector Housing** | | | | | |
| Home Improvement Loans | The process of the application for and allocation of loans | Destroy once repaid and land charge removed. Basic file kept for minimum 6 years after certified date. Database retained in archive | Regulatory Reform (Housing Assistance) (England and Wales) order 2002 |  | -       All loan paperwork |
|
|
|
|
| Disabled Facilities Grants (DFGs | The process of the application for and allocation of grants | Without Land Charge destroy 6 years after certified date. - With Land Charge destroy once charge removed only if after 6 years from certified date or after 10 years from certified date if not repaid. Hard or scanned paperwork. Except cases with attached DFA see below | The Grants, Construction and Regeneration Act 1996 |  | -       All paperwork relating to DFG applications |
|
| **Function Description** | **Purpose / Use** | **Retention Action** | **Statutory** | **Non-Statutory** | **Example of Records / Format** |
| Disabled Facilities Assistance (DFAs) | The process of the application for and allocation of loans in conjunction with DFGs | To be kept with appropriate DFG file - to destroy when repaid if after 6 year retention period. Partner DFG must be kept as long as loan is live | The Grants, Construction and Regeneration Act 1996 |  | -       All paperwork relating to DFA applications |
|
| Complaints and Requests for Service | To record requests for service for complaints, advice and grant enquiries | Recorded and stored on Uniform and archived databases. Hard copies scanned onto IDOX when case closed. Scans destroyed after 7 years from completion but records retained for 10 years | Dependant on complaint received | Dependant on complaint received | -       Details of inspections, actions and advice requested |
|
| Notices | Formal enforcement in accordance with primary & secondary legislation | Original and scan destroyed after 7 years from case closed. Uniform module records retained for 10 years once closed | Legislation enforced as per officers' authorisations |  | -       Notices served on properties and premises |
|
| Prosecutions | To record prosecutions | Hard copy retained while live and then scanned onto IDOX - destroyed after 10 years of closure | Legislation enforced as per officers' authorisations |  | -       Prosecutions in line with legal service |
|

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Function Description** | **Purpose / Use** | **Retention Action** | **Statutory** | **Non-Statutory** | **Example of Records / Format** |
| *House in Multiple Occupation* (HMO) public register | Record of licensed HMOs | Permanent updated live hard copy available for public view | Housing Act 2004 Part 7 Section 232 (1a) |  |  |
|
| HMO licensing | Licensing of HMO's | Hard copy to be scanned and retained for duration of licence. Uniform records as per residential premises and service requests above | Housing Act 2004 Part 2 |  | -       Paperwork |
|
| Residential Premises details | Details of all premises (non-commercial) in our district | Stored on Uniform Module as permanent changing live record |  |  | -       premises details |
|
| **Housing Provision** | | | | | |
| ‘Right to Buy’ | The process of the application for the sales of council properties | Destroy 12 years after sale of house |  | Common practice | -       Sales documents, agreement concerning sales |
| Unsuccessful applications for council housing and Housing Options' assistance | The process of the allocation and management of welfare housing and associated issues of homelessness | Destroy 1 year after closure |  | Common Practice | Council housing application forms and supporting material and Housing Options' notes  Applications for transfer of tenancy and supporting papers |
| Process of allocation, nomination and managing the tenancy of an individual tenant in social housing | The process of the allocation and management of social housing and associated issues of homelessness | Destroy 1 years after termination of tenancy |  | Common Practice | Correspondence, tenancy files, council housing application, forms and supporting material  Mutual Exchanges |
| **Function Description** | **Purpose / Use** | **Retention Action** | **Statutory** | **Non-Statutory** | **Example of Records / Format** |
| Process of offering financial help through Housing Options and Homeless applications | The process of the allocation and management of social housing and associated issues of homelessness | Destroy 6 years after the end of the financial year | Housing Act 1996 (as amended) |  | Application of transfer, application of emergency housing from another agency, deposit guarantees, DHP's and formal Homeless decisions |
| Gas certificates | To be compliant with statutory requirement and national good practice | 2 years and current | Regulation 36, of Gas Safety (installation and use) Regulations 1998 | Statutory | Gas certificates need to be undertaken yearly of all Council owned properties |
| Electrical certificates | To be compliant with British standard and good practice | Current year certificate and Part P certificates are kept permanently | BS7671 2008 Amendment 3, 2015 (17th edition) |  | Electrical safety certificates need to be undertaken 10 years (or on change of tenancy) of all Council owned properties |
| Contract, tender and quotation documentation | For the purpose of repair and maintenance of Council owned housing stock | Signed contracts to be held for the length of their contractual time plus 6 years after. Contracts under seal - to be retained for the duration of that contract plus 12 years | Limitation Act 1980 | Statutory | All documentation for the purposes of letting a contract or entering into an agreement for the provision of services. In line with the Corporate retention actions |
| Rent Payments |  | Destroy 7 years after the end of the financial year in which it was created | Housing Act 1996 (as amended) |  | -       Rent books, correspondence concerning payments, requests for payments |
| Pumping Stations | Maintenance | Asset records indefinitely Maintenance records destroy after 7 years |  | - | -       Spreadsheets/photos  -       Orders/invoices |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Tenancy Management** | | | | | |
| **Function Description** | **Purpose / Use** | **Retention Action** | **Statutory** | **Non-Statutory** | **Example of Records / Format** |
| Anti-Social Behaviour/Nuisance complaints |  | Retained for 6 years from the resolution of the complaint |  | Common practice | -       Nuisance forms and witness diaries |
| -       Correspondence |
| Garage Rental Agreements |  | Retain for 1 year after the agreement expiry date |  | Common practice | -       Signed garage agreements |
| DVLA checks | To establish vehicle ownership details | Maintain record in hard copy or scanned form retain for 3 years | Statutory as directed by DVLA |  | -       Written statement and print out |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Environmental Health** | | | | | |
| **Including the following functions:** | | | | | |
| Notices served on owners, occupiers and businesses under various legislation | Formal enforcement in accordance with primary and secondary legislation | Original scanned and stored on IDOX system indefinitely Hard copy only retained until notice is complied with | The power to serve the notice is in the legislation highlighted in the officers’ authorisations |  | Abatement Notice Improvement notice Prohibition notice Notice of entry Warrant |
| Application for permits | To record applications and associated correspondence | Recorded and stored indefinitely on Uniform/IDOX system Where made hard copies of notes are scanned on closing the case | Environmental Protection Act  Local Government (Miscellaneous Provisions) Act 1976 for special treatments, Animal Welfare legislation |  | -       Names/addresses of complainants and alleged offenders and details of visits and work undertaken in respect of that case |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Function Description** | **Purpose / Use** | **Retention Action** | **Statutory** | **Non-Statutory** | **Example of Records / Format** |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Prosecution files and paperwork | To record prosecutions | Permanent/ Hard copy retained whilst case is “live” then scanned and held on IDOX system | The legislation enforced is highlighted in the officers authorisations |  | -       Prosecution of food premises or for failure to comply with abatement notice Failure to pay fixed penalty notices  -       Contaminated land inspections  -       Pollution / Waste related accumulations or filthy and verminous premises inspections |
| Premises inspection notes | To record and administer premises inspections | Notes held on Uniform / IDOX system Paper records scanned and destroyed after the case file is closed | The legislation enforced is highlighted in the officers authorisations |  | -       Food and Health & Safety premises inspections |
| Accident and food poisoning investigations | To administer and record investigations | Notes held on Uniform / IDOX system Paper records scanned and destroyed after the case file is closed | Food Safety Act 1990 and associated legislation made under the Act |  |  |

**Building and Engineering**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Facilities** | | | | | |
| **Function Description** | **Purpose / Use** | **Retention Action** | **Statutory** | **Non-Statutory** | **Example of Records / Format** |
| Office Accommodation Property Data |  | Destroy after 7 years |  | Common practice | Maintenance sheets, electrical inspection sheets etc. |
|
| **Engineering** | | | | | |
| Engineering Services Operations | Operational activities | Destroy after 7 years |  | Common practice | Quotes / Job Tickets |
| **Street Scene** | | | | | |
| Campaigns activity | To record and plan campaigns | Hard copies destroyed after 1 year from creation or until campaign end, as appropriate (see procurement) |  |  | -       Tidy Tendring and “Feel Good About Recycling” |
| Fixed penalty notices and associated paperwork | To record and administer the issue and payment of fixed penalty notices | Permanent/ Electronic record made on Uniform system Paperwork scanned and held on IDOX system | The legislation enforced is highlighted in the officers authorisations |  | -       Dog fouling / litter fixed penalty notices |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Coastal Protection** | | | | | |
| **Including the following functions:** | | | | | |
| **Function Description** | **Purpose / Use** | **Retention Action** | **Statutory** | **Non-Statutory** | **Example of Records / Format** |
| Capital Coast Protection Projects | Scheme Documents | Ordinary Contracts 6 years after terms of contract expired Technical records to be retained |  |  | -       Contract Documents, Technical Reports/ Drawings |
| Coastal | General correspondence | Destroy after 3 years |  |  | -       Letters |
| Street Naming & Numbering | Property addresses/ new developments/ address changes | Destroy after 10 years | The Towns Improvement Clauses Act 1847 and The Local Government Act 1985 |  | -       Correspondence Plans/ reports/ Numbering Notices |
| Private Street Lighting | Maintenance | Destroy after 3 years Asset records indefinitely |  |  | -       Correspondence/ orders/ invoices |

**Sport & Leisure**

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Function Description** | **Purpose / Use** | | **Retention Action** | | **Statutory** | | **Non-Statutory** | | **Example of Records / Format** | |
| Training including children | Includes compliance with Royal Life Saving Society (RLSS) Guidelines for Leisure Attendants | | Destroy 35 years after training completed or last entry | |  | | Common Practice and in line with RLSS Guidelines | | Training Register showing courses attended (Inc. relevant Continuing Professional Development (CPD) | |
| Process involving documenting Leisure Centre customer records including "Join up at Home" software |  | | Permanent and retained on specific ICT database and file server | |  | | Common practice | | All membership details and supporting information including membership agreements are scanned and retained | |
|
| Process involving entering of Princes Theatre customer records |  | | Permanent - although data continually amended and revised in response to notification of change of personal details given | |  | | Common practice | | Customer names and addresses for mail outs whether manually or electronically | |
| Retained on I Cloud database | |
| Process involving event organisation (including Air Show) |  | | Destroy after 3 years | |  | | Common practice and for reference | | Recording event applications, organisers and traders personal information, supporting documentations and plans | |
| **Function Description** | | **Purpose / Use** | | **Retention Action** | | **Statutory** | | **Non-Statutory** | | **Example of Records / Format** |
| **Seafronts** | | | | | | | | | | |
| Seafront Events | | All events held on beaches (seafronts) | | Destroy after 3 years | |  | | Common practice and for reference | | Recording event applications, organisers and traders personal information, supporting documentations and plans |
| Seafronts Beach Patrol and Seafront rangers | | Seafront incidents | | Destroy report sheets and diaries after 10 years in case of claims at later dates | |  | | Non Statutory | | All seafront incidents are recorded by each beach patrol / seafront rangers (First Aid reporting sheets and diaries with daily records |
| Beach Huts | | Hire/private ownership (ground rent) | | Contact details of current hirer and immediate pre-hirer details kept only | |  | | Non Statutory | | All contact details of current hirers but also the pre-owners (as these are included on transfer documentation) and also those on waiting list |

**Customer & Commercial**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Function Description** | **Purpose / Use** | **Retention Action** | **Statutory** | **Non-Statutory** | **Example of Records / Format** |
| The process of the assessment, equipment allocation and management of Careline Service Users by the local authority and associated issues | On-going needs assessments | Destroy 2 years after cancellation of the service |  | Common Practice in line with Telecare Services Association | -       Contract |
| -       Serious incident reports |
| -       Calls history |
| -       Personal details |
| The process of recording and downloading CCTV footage | For the benefits of crime prevention and detections by the local authority to provide evidence for judicial decisions | Automatically overwritten after 30 days. Footage retained for other purposes will be either destroyed on completion of the investigation or provided to law enforcement agencies.  This then ceases to be the local authorities’ property and therefore deleted | Regulations of Investigatory Powers Act 2000 and The national framework for the use of public space CCTV systems |  | -       CCTV footage |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Function Description** | **Purpose / Use** | **Retention Action** | **Statutory** | **Non-Statutory** | **Example of Records / Format** |
| The process of documenting entering of the Control Centre |  | 7 years/Permanent | The archiving of information in general is 7 years although in cases containing information relating to a murder then it should be kept indefinitely in line with statutory legal requirements |  | -       Control Centre Visitors Book  -       Creation Log Book  -       Proforma |
| The process identifying CCTV footage passed to the Police or other agencies |  | 7 years/Permanent | Details for footage taken by the police for identification purposes will fall under Data Protection guidelines although in cases containing information relating to a murder then it should be kept indefinitely in line with statutory legal requirements |  |  |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Function Description** | **Purpose / Use** | **Retention Action** | **Statutory** | **Non-Statutory** | **Example of Records / Format** |
| The process of identifying CCTV request outcomes |  | 7 years/Permanent | All CCTV footage seized by the police, whether for id purposes or for the investigation of a crime, fall within the DPA 1998 rules or in the case of a murder should be kept permanently In relation to a serious crime. Where a long sentence is given then the footage should be kept where it is likely that an appeal against the sentence is forthcoming |  | -       Proforma |
| -       Non executed log |
|  |
| The process of identifying camera functionality |  | Permanent | The national framework for the use of public space CCTV systems |  | -       Camera Log Book |
| **Function Description** | **Purpose / Use** | **Retention Action** | **Statutory** | **Non-Statutory** | **Example of Records / Format** |
| Provision and support of individuals using public transport by providing codes on behalf of rail provider for Senior Rail Passes | Subsidised travel for older people | Destroy 2 years after conclusion of transaction (previous and current year) |  | Common practice | A record of names and addresses to whom travel codes have been provided |
| **Courier** | | | | | |
| Corporate | Recording of Signed For Mail | Destroy after 2 years |  | Common Practice | -       Sheets giving details of tracking number and name of recipients |
| Corporate | Recording of Incoming Signed For Mail | Destroy after 2 years |  | Common Practice | -       Book showing item received and signature of recipient |
| **Licensing** | | | | | |
| Licensing | All HC/PH Driver | Records stored on Uniform/IDOX. 6 years live files (except for medical information to be retained for 2 renewal periods and DVLA driver consent forms for 7 years) | Local Government (Miscellaneous Provisions) Act 1976 |  | Hackney Carriage and Private Hire - Application and renewal of licence records and complaints |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Function Description** | **Purpose / Use** | **Retention Action** | **Statutory** | **Non-Statutory** | **Example of Records / Format** |
| Licensing | All HC Vehicle | Records stored on Uniform/IDOX Once scanned, paper records can be destroyed and records can be totally removed/archived six years after the current renewal | Local Government (Miscellaneous Provisions) Act 1976 |  | Hackney Carriage (HC) - Application and renewal of licence records and complaints |
| Licensing | All PH Vehicle | Records stored on Uniform/IDOX Once scanned, paper records can be destroyed and records can be totally removed/archived six years after the current renewal | Local Government (Miscellaneous Provisions) Act 1976 |  | Private Hire (PH) - Application and renewal of licence records and complaints |
| Licensing | All PH Operator | Records stored on Uniform/IDOX Once scanned, paper records can be destroyed and  records can be totally removed/archived six years after the current renewal | Local Government (Miscellaneous Provisions) Act 1976 |  | Private Hire - Application and renewal of licence records and complaints |
|
|
|
|
|
|
|

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Function Description** | **Purpose / Use** | **Retention Action** | **Statutory** | **Non-Statutory** | **Example of Records / Format** |
| Licensing | Premises Licence and Club Premise Licence | Records stored on Uniform/IDOX Once scanned, paper records can be destroyed A hard copy of the plans to be kept whilst the premises is live + 6 years | Licensing Act 2003 |  | All records relating to Premises Licence and Club Premise Licence |
| Licensing | Personal Licences | Records stored on Uniform/IDOX Once scanned, paper records can be destroyed and records can be totally removed/archived (all live records for 10 years and 2 years "dead" records | Licensing Act 2003 |  | Personal Licences - Application and Variation Records, and complaints |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Function Description** | **Purpose / Use** | **Retention Action** | **Statutory** | **Non-Statutory** | **Example of Records / Format** |
| Licensing | Temporary Event Notices | Records stored on Uniform/IDOX Once scanned, paper records can be destroyed and records can be totally removed/archived (1 calendar year for live records and 5 years "dead" records | Licensing Act 2003 |  | Temporary Event Notices |
| Licensing | Gambling Premises | Records stored on Uniform/IDOX Once scanned, paper records can be destroyed A hard copy of the plans to be kept whilst the premises is live + 6 years for "dead" records | Gambling Act 2005 |  | All records relating to Gambling Premises Licences |
| Licensing | Gaming Machine Permits and Gaming Permits | Records stored on Uniform/IDOX Once scanned, paper records can be destroyed and records can be totally removed ten years after the current renewal and 2 years "dead" records | Gambling Act 2005 |  | Gaming Machine Permits and Gaming Permits and automatic entitlement to 2 machines for alcohol licensed premises |
| **Function Description** | **Purpose / Use** | **Retention Action** | **Statutory** | **Non-Statutory** | **Example of Records / Format** |
| Licensing | Small Society Lotteries | Records stored on Uniform/IDOX Once scanned, paper records can be destroyed and records can be totally removed/archived six years (including current year) | Gambling Act 2005 |  | Small Society Lotteries - application and financial return records |
| Licensing | Temporary Use Notices and Occasional Use Notices | Records stored on Uniform/IDOX Once scanned, paper records can be destroyed and records can be totally removed/archived (1 calendar year live records and 5 years "dead" records) | Gambling Act 2005 |  | Temporary Use notices and Occasional Use Notices - Application records |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Function Description** | **Purpose / Use** | **Retention Action** | **Statutory** | **Non-Statutory** | **Example of Records / Format** |
| Licensing | Sex Establishment Licences | Records stored on Uniform/IDOX Once scanned, paper records can be destroyed. Retained 10 years as live file records | Local Government (Miscellaneous Provisions) Act 1982 |  | Application and renewals records and complaints - Sex Establishment Licences (Sex Shops/Sexual Entertainment Venues/Sex Cinemas |
| Licensing | Scrap Metal Dealers – Sites and Collectors | Records stored on Uniform/IDOX Once scanned, paper records can be destroyed and records can be totally removed/archived six years after the current renewal | Scrap Metal Dealers Act 2013 |  | Applications, financial records, enforcement and inspection records |
| Licensing | Boats and Boatsman | Records stored on Uniform/IDOX Once scanned, paper records can be destroyed and records can be totally removed/archived six years after the current renewal | Public Health Amendments Act 1907 and Local Government (Miscellaneous Provision) Act 1976 |  | Applications and renewals for boats and boatsman's licences |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Function Description** | **Purpose / Use** | **Retention Action** | **Statutory** | **Non-Statutory** | **Example of Records / Format** |
| Licensing | Street Trading | Records stored on Uniform/IDOX Once scanned, paper records can be destroyed and records can be totally removed/archived six years after the current renewal | Local Government (Miscellaneous) Provisions Act 1982 |  | Applications and renewal records |
| Licensing | Street collection and house to house collections | Records stored on Uniform/IDOX Once scanned, paper records can be destroyed and records can be totally removed/archived six years after the current renewal | Police, Factories (Miscellaneous Provisions) Act 1916 and House to House Collections Act 1939 and Regulations 1947 |  | Applications for street collection and house to house collection permits and licences and financial return records |

**Public Realm**

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Bereavement** | | | | | | | | | |
| **Service Area** | **Purpose / Use** | | **Retention Action** | | **Statutory** | | **Non-Statutory** | | **Example of Records / Format** |
| **Including the following functions:** | | | | | | | | | |
|
| Bereavement Services | | Summary management systems that record the location of burials and identify of deceased individuals | | Permanent Offer to Archivist | Local Authorities' Cemeteries Order (LACO) Reg 1977 | | |  | Register of interments |
| Transfer to place of deposit after administrative use is concluded | Cemetery register     Cemetery plans |
| Bereavement Services | | Confirmation of Lawful Register of death | | Minimum 15 years but intention is to permanently keep | Cremation Regulations 2008 | | |  | Certificate of Burial or Cremation / Coroners certificate. Transfer of burial rights. Application for Cremation, medical certificates plus authorisation of medical referee |
| Bereavement Services | | The process of regulation of burials and cremations | | Permanent | |  | | Non - Statutory | Notice of Interment / Instructions / Receipt of Release or Operators card |
| Memorial order forms plus Consent & Transfer including Renewals |
| The process of regulation of burials and cremations | | 5 Years | |  | | Non - Statutory | Application for Memorials or Inscriptions |
| The process of regulation of burials and cremations | | 1 Year | |  | | Non - Statutory | Preliminary application for Cremation |

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Service Area** | **Purpose / Use** | | **Retention Action** | | **Statutory** | | **Non-Statutory** | | **Example of Records / Format** | |
| **Open Space** | | | | | | | | | | |
| Open Space | | The activity of providing municipal services in relation to infrastructure within the local authority | | Destroy 7 years after last action | |  | | Non - Statutory | | -       Street files |
| -       Street records |
| -       Requests for: |
| -       Hedge clipping |
| -       Tree planting |
| -       Roundabouts |
| Open Space | | The process of acquisition and disposal of vehicles through lease or purchase | | Destroy 7 years after the last disposal of the vehicle | |  | | Non - Statutory | | -       Leases |
| -       Contracts |
| -       Quotes |
| -       Approvals |
| -       Fleet authorisation |
| -       Numbers |
| Open Space | | The process of managing allocation and maintenance of vehicles | | Destroy 7 years after the sale or disposal of the vehicle | |  | | Non - Statutory | | -       Approvals as drivers |
| -       Allocations and authorisations for vehicles |
| -       Maintenance |
| Open Space | | The process of recording vehicle usage | | Destroy 3 years after the sale or disposal of the vehicle | |  | | Non - Statutory | | -       Vehicle usage reports |
| Open Space | | The process of recording drivers usage | | Destroy 7 years after the closure | |  | | Non - Statutory | | -       Vehicle log book |
| Nature Conservation | | To claim & receive Grant funding | | Destroy after 10 years | |  | | Non - Statutory | | Grant applications, agreements & conditions |
| Play Areas | | To provide evidence of inspections & repairs re insurance claims | | Destroy after 20 years | |  | | Non - Statutory | | Computerised inspections & repairs carried out at TDC Play Areas |
| **Service Area** | | **Purpose / Use** | | **Retention Action** | **Statutory** | | | **Non-Statutory** | | **Example of Records / Format** |
| Roundabout Sponsorship | | To review data on Sponsorship | | Destroy after 5 years | |  | | Non - Statutory | | Sponsorship agreements & costs computerised |
| **Parking** | | | | | | | | | | |
| Parking Services | | Maintenance & improvement schemes | | Maintenance records destroy after 7 years Asset improvements indefinitely | |  | |  | | -       Plans/photos/ spreadsheets |
|
| Parking Services | | PCN information | | 5 years – after which time for report purposes retain PCN contravention and payment data but all references to vehicle and owner to be removed | |  | | Non Statutory | | -  Electronic Data held for processing of Penalty Charge Notices (PCN) |
| Parking Services | | Permit Applications | | Destroy after 1 year | |  | | Non Statutory | | -       Paper and Electronic information relating to applying for a permit |
| Memorial Benches | | Applications | | Destroy after 10 years unless renewed or relates to permanent applications | |  | | Non Statutory | | 10 year licence given to applicants |
| Highways Local Services | | Maintenance Ranger Service | | Destroy after 7 years Asset records indefinitely | |  | |  | | -       Orders/ invoices/ correspondence/ photos/spreadsheets |

**Planning & Regeneration**

**Planning Policy**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Function Description** | **Purpose / Use** | **Retention Action** | **Statutory** | **Non-Statutory** | **Example of Record Format Legislation etc.** |
| Production of Planning Policy Documents | * Local Plan * Supplementary Planning Guidance | Permanent | Town & Country Planning Act 1990 |  | * Electronic and hardcopy |
| Consultation to gain approval for Planning Policy documents | * Consultations documents and replies * Inquiries and objections * Public Inquiries | Destroy after 5 years from date of adoption or decision | Town & Country Planning Act 1990 |  | * Electronic and hardcopy |
| The process of controlling development of areas through applications for planning permission  (The Planning Application process is currently under review. Part of this process will address how we deal with letters of objection/support and past applications – retention guidelines will be updated once this process is complete) | * Planning Application files and plans * Correspondence relating to any objections * Hearing papers * Planning Application Register * Appeals * Associated documents | Permanent | Town & Country Planning Act 1990 |  | * Electronic format and fiche Hard copy disposed of after decision & scanning |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Function Description** | **Purpose / Use** | **Retention Action** | **Statutory** | **Non-Statutory** | **Example of Record Format Legislation etc.** |
| Pre-Application Enquiries | * Pre-application discussions and documents | Permanent |  | Common Practice | * Electronic Hard copy disposed of after decision |
| The process of Planning Enforcement | * Enforcement Notices | Permanent  Hardcopy document destroyed after 3 years | Town & Country Planning Act 1990 |  | * Electronic format |

**Building Control**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Function Description** | **Purpose / Use** | **Retention Action** | **Statutory** | **Non-Statutory** | **Example of Record Format Legislation etc.** |
| The process of issuing Building Regulation decisions | * Building Files, specifications, plans, correspondence, applications, decision notices and certificates | Permanent | Building Act 1984 & Building Regulations 2000 |  | * Electronic |
| The process of inspecting building work for the purpose of compliance with Building Regulations | * Completion Certificates * Building Inspection Records * Diaries | Permanent | Building Act 1984 & Building Regulations 2000 |  | * Electronic and hardcopy |
| The maintenance of the Competent Persons Register | * Competent Persons Register | Permanent | Building Act 1984 & Building Regulations 2000 |  | * Electronic |
| The process of enforcing Building Regulations | * Contravention Notices | Permanent | Building Act 1984 & Building Regulations 2000 |  | * Electronic |

**Support & Development**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Function Description** | **Purpose / Use** | **Retention Action** | **Statutory** | **Non-Statutory** | **Example of Record Format Legislation etc.** |
| National Target Data | * PS and PS2 Return | Destroy after 5 years |  | Common Practice | * Electronic |
| Approved Procedures, Policies and Guidance Manuals | * Approved Guidance Manuals * Approved Policies * Approved Procedure Notes | Destroy when replaced with updated version |  | Common Practice | * Electronic |

**Land Charges**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Function Description** | **Purpose / Use** | **Retention Action** | **Statutory** | **Non-Statutory** | **Example of Record Format Legislation etc.** |
| The process of producing an Official Local Authority Search result | * In response to official request for information * Maintenance of Statutory Register | Permanent | Land Charges Act 1975 |  | * Permanent land charges search records both electronic and hard copy |
| The retention of Local Authority search results and information provided by other departments and external organisations | * Verification purposes for insurance requirements * Answering of enquiries and queries | Destroy after 6 Years | Land Charges Act 1975 |  | * Part hard copy, part electronic format |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Function Description** | **Purpose / Use** | **Retention Action** | **Statutory** | **Non-Statutory** | **Example of Record Format Legislation etc.** |
| Guidance Manuals, Policies and Procedure Notes | * Policies and Procedures relating to the registering of information and the subsequent production of an Official Local Authority Search | Permanent |  | Common Practice | * Approved procedure notes |
| Monthly return of search statistics | * To report and monitor numbers and income within Land Charges section to comply with fee setting regulations | Destroy after 6 years |  | Common Practice | * Information held electronically and hard copy |
| Agreements made with suppliers | * To enable obligations to be laid down and ensure statutory return times are met | Records held for the duration of the validity of the agreement |  | Common Practice | * Service Level Agreement with Essex County Council – hard copy kept |

**Regeneration**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Service Area** | **Purpose / Use** | **Retention Action** | **Statutory** | **Non-Statutory** | **Example of Records / Format** |
| **Inward Investment & Growth** | | | | | |
| **Including the following functions:** Inward Investment, Enterprise & Business Support, Skills Development, Community Projects, Town Centres and the work of the Jaywick Neighbourhood Team Tendring Regeneration Limited | | | | | |
| Meeting agendas (including reports) and minutes | To record meetings | Retain for 1 year |  |  | -       Minutes, reports and agendas |
| Procurement | To record the procurement and decision making processes leading to the award of contract | Electronic and Hard Copy documents (of successful and unsuccessful contractors) stored in accordance with established guidelines |  |  | -       Pre-qualification questionnaires and invitations to tender documents, contractor tenders, tender evaluation & interview assessment documents, portfolio holder concurrence, award of contract, and outcome notification letters |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Service Area** | **Purpose / Use** | **Retention Action** | **Statutory** | **Non-Statutory** | **Example of Records / Format** |
| Third Party Grant & Loan Funding | To record details of applications for third party funding and to record details of Funding Agreements entered into by the Council | Records of applications and associated funding agreements to be kept for six years following the close of projects for which funding has been awarded |  | Non-Statutory | Third party applications and approvals for bids such as: Coastal Communities Fund, Growing Places Fund, Local Growth Fund, European Social Fund, European Regional Development Fund, and other such funding that is from time-to-time made available  To record: Applications for funding made to third party organisations; Authority to enter into a funding agreements and to commit resources; Funding agreements; The commencement and termination dates of third party agreements; All records to be audit compliant |
|
| Funding Agreements | To record details of Funding Agreements entered into by the Council | Retain for 6 years |  | Non-Statutory | - Authority to enter into agreements  - Funding Agreements |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Service Area** | **Purpose / Use** | **Retention Action** | **Statutory** | **Non-Statutory** | **Example of Records / Format** |
| Big Society Funding | To record applications seeking funding via the Council’s Big Society Fund | Retain for 2 years from the close of projects for which funding has been awarded |  | Non-Statutory | Details of the Scheme as approved by Cabinet  Details of applications received and submitted to the Member Panel for determination  Details of the Panel’s decision and authority to commit funding  Details of funding agreements between the Council and the grant recipient |
| Small Grants Scheme | To record applications seeking grants via the Council’s Scheme to support small businesses | Retain for 2 years from the close of projects for which funding has been awarded |  | Non-Statutory | Applications received evaluation records and decision notices  Details of authority to commit funding and enter into a funding agreement |
| Small and medium-sized enterprises (SME) Growth Fund | To record applications seeking funding via the Council’s SME Growth Fund | Retain for 2 years from the close of projects for which funding has been awarded |  | Non-Statutory | Details of the Scheme as approved by Cabinet  Details of applications received and submitted to the Grants Panel for determination  Details of the Panel’s decision  Details of authority to commit funding and enter into a funding agreement  Details of funding agreements between the Council and the grant recipient |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Service Area** | **Purpose / Use** | **Retention Action** | **Statutory** | **Non-Statutory** | **Example of Records / Format** |
| Pop-up Shops | To record applications seeking access to the Council’s Pop-up Shop Scheme (operated on a periodic basis) | Retain for 2 years |  | Non-Statutory | -       Applications received, evaluation and assessment records and formal notification |
| Asset Files | To record details of client occupancy of land and premises | Recorded and stored indefinitely or client terminates lease  If under £50,000  Destroy 6 years  If over £50,000  Destroy 12 years  After all obligations/ entitlements are concluded |  |  | -       Licence Agreements |
| Business Support Requests | To record a detail of support required | Recorded and retained for 5 years |  |  | -       Commercial Property Enquiry |
| Client and Company Databases | To record local company information | Recorded and stored for 5 years or until request for removal |  |  | -       Online business directory |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Service Area** | **Purpose / Use** | **Retention Action** | **Statutory** | **Non-Statutory** | **Example of Records / Format** |
| **Jaywick Neighbourhood Team** | | | | | |
| Generic administrative issues (i.e., Health and Safety, complaints, etc. ) recorded as above | As Above | As Above | As Above | As Above | -       As Above |
| **Tendring Regeneration Limited – dissolved on 8th September 2015** | | | | | |
| Meeting agendas (including reports) and minutes | To record meetings | Retain for 3 years | Her Majesty's Revenue and Customs (HRMC) |  | -       Minutes, reports and Agendas |
| Annual returns to Companies House | Records of annual submissions | Retain for 3 years | HRMC |  | -       Copy of Annual Return submitted via Companies House website portal |
| Directors and Officers Insurance | Records of annual policies | Retain for 6 years | HMRC |  | -       Copy of Insurance Policy |
| Annual Accounts | Records of Annual Financial Statement(s) | Retain for 6 years | HMRC |  | -       Annual Accounts |

**Leadership Support and Community**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Community Safety** | | | | | |
| **Purpose / Use** | **Retention Action** | **Statutory** | **Non-Statutory** | | **Example of Records / Format** |
| Community Safety  Initiatives | Reviewable  Destroy records as they become obsolete or are no longer required |  | Common Practice | | -       Action Plans  -       Audit of Crime documentation  -       Handbooks |
| **Members** | | | | | |
| **Purpose / Use** | **Retention Action** | **Statutory** | | **Non-Statutory** | **Example of Records / Format** |
| Individual District Councillor information which cannot be linked and stored with other records relating to a specific process | Retain in accordance with term as a District Councillor |  | |  | * Members Allowances * Members Mileage * General Files |
| **Honours and Submissions** | | | | | |
| **Purpose / Use** | **Retention Action** | **Statutory** | | **Statutory** | **Example of Records / Format** |
| The process of preparing of submission | Destroy 5 years after last action |  | | Common Practice | -      Covering documentation  - Letters of Support  -       Referral for comment from Lord Lieutenant |