

Horsham District Council Retention Schedule

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1. Building Regulation

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
BUILDING CONTROL				
1.1.1.	Building regulations	Live applications, Closed applications Disabled exemption applications	15 years	Building Control Legal requirement
1.1.2.	Building regulations	Archived building regulation applications.	Permanent Transfer to storage area after the end of administrative use and destroy duplicates	Building Control Legal requirement
1.1.3.	Contact details	Records of Agents Marketing database	Reviewable Destroy records as they become obsolete or are no longer required	Building Control
1.1.4.	Feedback cards	Customer feedback records retained for marketing & service improvement	Reviewable Destroy records as they become obsolete or are no longer required	Building Control
1.1.5.	Correspondence	Contact from Customers, e-mails letters. Questions received Reply cards	Reviewable Destroy records as they become obsolete or are no longer required	Building Control

1.1.6.	Case files	Application information for checking & site visits.	Reviewable Destroy records as they become obsolete or are no longer required	Building Control
1.1.7.	Crawley Caution List	Health & Safety information	Reviewable Destroy records as they become obsolete or are no longer required.	Building Control

[Return to Index](#) 2. Council Owned Property & Land

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
ASSET ACQUISITION & DISPOSAL				
2.1.1.	Management of the acquisition process – by financial lease or purchase – for real property.	Lease Legal documents relating to the sale Particulars of sale documents Board of summary Communication	Permanent Transfer to storage area after the end of administrative use and destroy any duplicates	Property
2.1.2.	Building Acquisition Records	SAM/ELF Purchase Contract	Retain from date that use of the building ceases for 6 years	Property Limitation Act 1980 (Section 2)

2.1.3.	Management of the acquisition (by financial purchase or lease) and disposal (by sale or write off) process for assets	Under £50k Legal document relating to the purchase/sale Particulars of sale documents Board of summary Leases Application for leases, licences and rental revision Tender documents Conditions of contracts Certificate of approval	Destroy 6 years after all obligations/entitlements are concluded.	Property
2.1.4.	Management of the acquisition (by financial purchase or lease) and disposal (by sale or write off) process for assets	Over £50k Legal document relating to the purchase/sale Particulars of sale documents Board of summary Leases Application for leases, licences and rental revision	Destroy 12 years after all obligations/entitlements are concluded.	Property

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
		Tender documents Conditions of contracts Certificate of approval		
2.1.5.	Sale of property (other than by auction or Order Of Court Protection)	Estate Agents Request Valuation Sale Contract Work Request	Retain from close of case for 6 years	Property Limitation Act 1980 (Section 2)

2.1.6.	Registration of publicly owned land and property	Land registry	Retain from date land acquired until public ownership of the land ceases	Property
2.1.7.	Land and property availability for purchase/rent	Estate Agent Survey Valuation	Retain from year records created for 1 year	Property
2.1.8.	Property valuation records	Valuation request Valuation report	Retain from date valuation superseded for 2 years	Property
2.1.9.	Completion of property valuations	Property valuation Work request Result	Retain from disposal of the property for 6 years.	Property HMRC- Compliance Handbook Manual CH15400
2.1.10.	Record of design and construction of not listed buildings	Architects Drawings Building Designs	Retain from date of completion of building for 15 years	Property Building Control Performance Standards
2.1.11.	Management of the disposal process – by sale or write off – for real property	Competitive sales Legal documents relating to the sale Particulars of sale documents Board of summary Tender documents Condition of contacts	Destroy 15 years after all obligations and entitlements are concluded.	Property

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
ASSET MANAGEMENT				

2.2.1.	Management systems that allow the monitoring and management of assets in summary form	Subsidiary asset registers EARS/SAM System of all assets cross referencing Information@ Work Contractor has CAFM holding data of assets and maintenance requirements	Destroy 7 years after the conclusion of the financial transactions that the record supports.	Property
2.2.2.	Asset Register	SAM/ELF Information @ Work	Retain from life of the asset for 6 years	Property HMRC- Compliance Handbook Manual CH15400
2.2.3.	Asset Management Plans		Retain from year records created for 6 years	Property
2.2.4.	Equipment Leasing Contracts	Water Coolers documentation Lease agreement	Keep for 6 years then destroy	Property
2.2.5.	Management of the occupancy of the property	Requests for work, cleaning etc. Maintenance Repairs Servicing	Keep for 7 years then destroy	Property
2.2.6.	Management of the occupancy of the property	Wicker Room booking details Request to book room Confirmation room booked or busy Diary system	Keep for 1 year then destroy	Property
2.2.7.	Corporate - service policy	All records relating to the management of internal procedures and facilities involved in the delivery of services not covered elsewhere in the schedule	Retain from year records created for 3 years	Property
2.2.8.	Assessment of properties for energy efficiency (HDC Properties).	Reports Results Work requests Assessment Display Energy Certificates	Retain from date created for 7 years	Property

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
ASSET MAINTENANCE				
2.3.1.	Reporting and reviewing asset status	Routine returns and reports on asset status Inspections Surveys of usage Acquisition and disposal reports and proposals	Reviewable Destroy records as they become obsolete or are no longer required	Property
2.3.2.	Planned or responsive maintenance on council land and property	Work requests Assessments Quotations	Retain from year records created for 6 years	Property Limitation Act 1980 (Sect. 2)
2.3.3.	Maintenance contracts and related correspondence	Contracts Work requests Communication	Keep for 12 years then destroy	Property
2.3.4.	Refurbishment of buildings owned by the local authority	Voids	Retain from year records created for 6 years	Property Limitation Act 1980 (Sect. 2)
2.3.5.	Maintenance programme	Schedules Diaries/Logs of work held by our Contractors but requested data from time to time	Keep for 16 years then destroy	Property
2.3.6.	Meetings with contractors	Agendum, minutes etc.	Keep for 5 years then destroy	Property

2.3.7.	Approved Contractors and Consultants List	Successful applications via tender agreement Monitor Cleaning SSE Outside of Tender, small works Pest Control Builders & Contractors for large projects	Reviewable Destroy records as they become obsolete or are no longer required	Property
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Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
2.3.8.	Approved Contractors and Consultants List	Unsuccessful applications via tender agreement	Keep for 1 year then destroy	Property
2.3.9.	Forward maintenance registers	SSE Contractors hold information CDS Contractors hold information Which we ask for on occasion	Keep for 16 years then destroy	Property
2.3.10.	The process of maintaining assets	Contracts excluded under hand: Garden maintenance Cleaning Painting Servicing Maintenance Repairs	Keep for 7 years then destroy	Property
2.3.11.	The process of maintaining plant and equipment	Service records Plant files Held by contractors and released when requested	Keep for 7 years then destroy	Property
2.3.12.	Provision of an estates management service for land and property in the area	SSE Communication, reports, quotations Land -	Retain from year records created for 6 years	Property

2.3.13.	List of approved suppliers and contractors	Tendered Contractors SSE Monitor Cleaning under tender 2018 Untendered Contractors Adrian Locksmith Bespoke Systems Services Pest Control	Retain from date list expires for 6 years	Property
2.3.14.	Maintenance and operational manuals	Duty Manager documentation Master kept online Date stored on G: drive and kept up to date Sites each have hardcopy manuals may be on notebooks may be on notebooks held locally	Reviewable Destroy records as they become obsolete or are no longer required	Property

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
2.3.15.	Creation, implementation and maintenance of surface water management plans	Schedule of works Weekly Cleans & reports Laboratory results Monthly legionella testing Sampling Drain down sterilisation Chlorine residual readings Re dose Communication	Permanent Transfer to storage area after the end of administrative use and destroy any duplicates	Property

2.3.16.	Management of council properties which are owned or leased by the Council but which have not been built by the Council	Planned preventative maintenance Reactive maintenance Certificates Cleaning Work request Diagrams Reports	Retain from end of council use of the building for 6 years	Property Limitation Act 1980 (Sect. 2)
2.3.17.	Surveys of buildings owned by local authorities	Surveys Legal documentation Diagrams Reports	Retain from disposal of the building for 6 years	Property Limitation Act 1980 (Sect. 2)
2.3.18.	Provision of facilities for staff	Reactive repairs Planned preventative maintenance Tests – alarm	Retain from date use of the facility ceases for 6 years	Property Limitation Act 1980 (Sect. 2)
Property Safety & Security				
2.4.1.	Fire Hydrants Maintenance	SSE Reports Communication Schedules	Retain from year records Created for 6 Years	Property Limitation Act 1980 (Sec. 2)
2.4.2.	Gas safety inspection	Annual gas safety inspections for properties under landlord management	Retain from date of certificate for 2 years	Property

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
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		resulting in the issuance of a CP12 certificate Reports Schedules		
2.4.3.	Asbestos Monitoring (HDC Properties).	Asbestos Register - List of sites Asbestos monitoring & Inspection records including Annual Report Asbestos removal records Record of exposure	Retain for the life / ownership of the building (or until asbestos removed) + 40 years	Property Control of Asbestos Regulations 2012 SI 1992, No 3068
2.4.4.	Air handling unit management in properties owned by the council	Planned Preventative Maintenance Schedule Checks Results Work Request	Retain from creation of records for 6 years	Property Limitation Act 1980 (Sect. 2)
2.4.5.	Burglar alarm keyholder registration	All records relating to the registration of keyholder details with the council.	Retain from date of registration until key holder replaced.	Property
2.4.6.	Provision of caretaking services in council property	Communication Schedule Contract	Retain from year records created for 6 years	Property Limitation Act 1980 (Sec. 2)
2.4.7.	Design and adaptation to ensure access to and use of public buildings by people with disabilities	Assessments Results Work Request Certificate	Retain from date adaptations complete for 6 years	Limitation Act 1980 (Section 2)
2.4.8.	Certification of buildings (listed and significant)	Park House Certificate	Permanent	Property Building Control Performance Standards

2.4.9.	Certification of buildings (not listed buildings)	Fire Certificate, Asbestos Report Boiler, Electricity Gas Safety Alarms Fire	Retain from date of completion of building for 15 years.	Property Building Control Performance Standards
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Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
		Alarms Intruder		
2.4.10.	Risk Assessments of hazardous substances	Asbestos Liquids	Retain from closure date for 40 years	Property Control of Substances Hazardous to Health Regulations, 1997/2002
2.4.11.	Provision of security in local authority buildings	HDC Records of Security	Retain from year records created for 6 years	Property Limitation Act 1980 (Sect. 2)
LEASING & OCCUPANCY				
2.5.1.	The processing of managing leased property	Lease agreements Rental expenditure authorities Valuation queries Application for leases, licenses and rental revision.	Keep for 6 years after the expiry of the lease.	Property
2.5.2.	Tenancy Agreement – Council as Landlord	Tenancy Agreement Contact Details Communication Fixed term	Permanent Transfer to storage area after the end of administrative use and destroy any duplicates NB: Retain with deeds after determination	Property

2.5.3.	Tenancy Agreement – Council as Tenant	Strawberry Field Tenancy Agreement	Destroy 10 years after determination	Property
2.5.4.	The process of managing the occupation of property	Requests for work, Cleaning Maintenance Servicing	Destroy 7 years after transaction conclusion	Property
2.5.5.	Garage lettings management	Previous History Log Communication Contract	Retain from end of tenancy for 6 years	Property

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
PROPERTY & LAND MANAGEMENT				
2.6.1.	Architectural Documents and Engineering Survey/Reports	Computer Aided Design (CAD) records Plant and equipment condition surveys	Permanent Transfer to storage area after the end of administrative use and destroy any duplicates	Property
2.6.2.	Architectural Documents and Engineering Survey/Reports	Master copy Measured surveys Design drawings Building records maps, plans Drawing site surveys Building condition surveys Feasibility studies, preliminary designs and other proposals not implemented.	Permanent Transfer to storage area after the end of administrative use and destroy any duplicates NB: Review 25 years after transfer to remove obsolete material.	Property

2.6.3.	Architectural Documents and Engineering Survey/Reports	Structural, mechanical and electrical engineering Drainage services Consultant and contractors Drawing and associated records	Permanent Transfer to storage area after the end of administrative use and destroy any duplicates NB: Review 25 years after transfer to remove obsolete material.	Property
2.6.4.	Managing and undertaking renovations and development of property	Contracts under hand: Work orders Final accounts Conditions of contract	Destroy 6 years after last action	Property
2.6.5.	Managing and undertaking renovations and development of property	Contracts under seal; Work orders Final accounts Conditions of contract	Destroy 12years after last action	Property
2.6.6.	Management – buildings and estates of “special” interest	Project specifications Plans/maps	Permanent Transfer to storage area	Property
Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
		Condition surveys Installation/operating manual Certificates of approval	after the end of administrative use and destroy any duplicates	
2.6.7.	Management – all other Council Owned buildings and estates	Project specifications Plans/maps Condition surveys Installation/operating manual Certificates of approval	Permanent Transfer to storage area after the end of administrative use and destroy any duplicates	Property

2.6.8.	Reports to management on overall property of the authority	Consolidated property and buildings annual reports Summary of leased property Summary of local authority's owned property Site register Register of leases	Permanent Transfer to storage area after the end of administrative use and destroy any duplicates	Property
2.6.9.	Administration of grazing land including permits to graze	List of grazing land Communication Permits	Permanent Transfer to storage area after the end of administrative use and destroy any duplicates	Property
2.6.10.	Legionnaires Disease. All records involved in the monitoring, inspection, testing for Legionnaires Disease and checking of results, including details of the state of operation of the system	Schedule of tests Results Communication Laboratory results	Retain from date created for 5 years	Property

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3. Community Facilities

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
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CEMETERIES & BURIAL MANAGEMENT			3.1.	
3.1.1.	Summary management systems that record the location of burials & identity of deceased individuals	Registry of interment Cemetery register Cemetery plans Other registers	Permanent Transfer to storage area after the end of administrative use and destroy any duplicates	Community Services Cremation Regulations 2008
3.1.2.	The process of regulation of burials & cremations	Permits Applications Orders	Keep for 5 years then destroy	Community Services
3.1.3.	The process of regulation of burials	Certificate for Burial Medical records Registration papers Cremation Papers	Keep for 15 years then destroy	Community Services Cremation Regulations 2008
3.1.4.	Burial Grounds Records	Memorial registers Grave registers Transfer of grants Ownership	Permanent Transfer to storage area after the end of administrative use and destroy any duplicates	Community Services LACO 1977
3.1.5.	Purchase Records	Pre-purchase records Deed registers Masons licenses	Permanent Transfer to storage area after the end of administrative use and destroy any duplicates	Community Services LACO 1977
3.1.6.	Permits & Orders	Garden permits Grave marker orders	Destroy 1 year after expiry of the permit or fulfilment of the order	Community Services

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
3.1.7.	Cemetery Memorial Suppliers	Plaques Tablets	Reviewable Destroy record as they become obsolete or are no longer required	Community Services
TOWN & DISTRICT FACILITIES MAINTENANCE				
3.2.1.	Repair of communal lighting	Reactive Maintenance Planned Preventative Maintenance Communication	Retain from year records created for 6 years	Property Limitation Act 1980 (Sec. 2)
3.2.2.	Pavement maintenance	Shooting Fields Inspections Results Work requests	Retain from year records created for 6 years	Property Limitation Act 1980 (Sec. 2)
3.2.3.	Provision and maintenance of street furniture	Lists of HDC owned benches Schedule of maintenance Reactive maintenance List of HDC owned ornamental street lights and their locations	Retain from year records created for 3 years	Property Limitation Act 1980 (Sec. 2)

3.2.4.	Wall maintenance	Maps of walls Grade II listed wall Communication Conservation Approval Work request Survey Works completed certificate	Retain from date maintenance carried out for 6 years	Property Limitation Act 1980 (Sec. 2)
3.2.5.	Maintenance and repair of street lighting (General street lighting is WSCC responsibility).	Planned preventative & reactive maintenance & work requests to street lighting in: Car Parks, Shooting Field, Bennetts Field Path, Riverside Walk Path, Hurst Road path to Horsham Park, Carfax, West Street Up Down lighters, Medwin Walk, Causeway, Market Square & Hanover Street	Retain from year records created for 6 years	Property Limitation Act 1980 (Sec. 2)
Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
Public Conveniences				
3.2.6.	Provision and management of public conveniences	Schedule of cleaning Maintenance Reactive Maintenance PPM	Retain from year records created for 6 years	Property
Leisure & Culture – Sporting Venues				
3.3.1.	Ownership and maintenance of council run golf courses	Planned Preventative maintenance Work Requests Inspections	Retain from year records created for 6 years	Property Limitation Act 1980 (Sec. 2)

Gypsy and Traveller Sites				
3.4.1.	Provision and management of gypsy and traveller sites and dealing with unauthorised use.	Communication Reports Maintenance PPM Maintenance Reactive Work requests	Retain from year records created for 6 years	Property Limitation Act 1980 (Sect. 2)

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4. Community Safety

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
CIVIL CONTINGENCIES\DISASTER RECOVERY				

4.1.1.	Emergency/Disaster Recovery plans	Major Incident Plan Sussex Resilience Plans Severe Weather Plans Departmental emergency plan	Reviewable Destroy records as they become obsolete or are no longer required. Destroy any duplicates.	Community & Culture
4.1.2.	Exercises	Walk through exercises plans Response Plan Testing Follow-Up Notes Debrief Notes Correspondence.	Reviewable Destroy records as they become obsolete or are no longer required. Destroy any duplicates.	Community & Culture
4.1.3.	Training material	Guidance notes Slides from training provided.	Reviewable Destroy records as they become obsolete or are no longer required. Destroy any duplicates.	Community & Culture
4.1.4.	Reference Material ~ Re Emergency Planning	Lists of useful contacts Guidance notes "Lessons Learned" from other disasters. Slides from presentations	Reviewable Destroy records as they become obsolete or are no longer required. Destroy any duplicates.	Community & Culture
COMMUNITY SAFETY INITIATIVES				
4.2.1.	Anti-Social Behaviour	Records of individuals who have signed "Acceptable Behaviour contracts" Contact details of clients Case worker case notes	Keep for 7 years then destroy	Community & Culture
Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation

4.2.2.	Horsham District Community Safety Partnership	Membership applications Agreements Project details Correspondence Meetings	Permanent Transfer to storage area after the end of administrative use and destroy any duplicates	Community & Culture
4.2.3.	Community Safety Initiatives	Horsham District Community Safety Sussex Crime Reduction Partnership	Reviewable Destroy records as they become obsolete or are no longer required	Community & Culture
4.2.4.	Records relating to crime reductions initiatives	Pub watch Drinkers Incident reports Handheld radio licenses	Reviewable Destroy records as they become obsolete or are no longer required	Community & Culture
ENFORCEMENT				
4.3.1.	Enforcement Action	Anti Social behaviour document Fixed penalty notices Other orders & Action plans Improvements of Prohibition Notices	Until action closed.	Community & Culture Is this relevant

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5. Community Services

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
COMMUNITY WELLBEING				
Community Link - Technology Enabled Care				
5.2.1.	Current Client records	Referral documentation. <ul style="list-style-type: none">Personal contact details including mobile phone numbers.Client Health RecordsSigned Contract Agreement	Reviewable Destroy record as they become obsolete or are no longer required NB. Client records also sent to Chichester District Council to support contractual arrangements.	Environmental Health & Licensing.
5.2.2.	Void Client Records ~ Records of former clients who no longer subscribe to the service.	Records of deceased former clients. Other former client records.	1 Year after the end of the contract has ended.	Environmental Health & Licensing.
5.2.3.	Appointment details – Records of appointments made with client	Meetings potential new clients Details of visits. Follow up notes.	1 Year if the contract does not go live. Otherwise, retained within current client record.	Environmental Health & Licensing.
Public Health				
5.3.1.	Information collected from public health clients.	Wellbeing Hub database Client case notes Get Active database & client case notes.	Keep for 7 years then destroy	Community & Culture West Sussex Public Health prescribes retention period.

Sports Development				
5.4.1.	Customer Booking data	Holiday & term-time events Medical declarations.	Keep for 6 years then destroy	Community & Culture

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
5.4.2.	Sporting programmes & Events	Session registers, club/programme databases e.g. Netball, 50+ clubs, golf events, Various partnership projects	Keep for 6 years then destroy	Community & Culture
5.4.3.	Administrative Records	Equipment inventory Competition entry information Risk assessments Safeguarding register Low intensity games info Surveys Research documents Attendance summaries Young leader records Work experience & volunteer records Website images Photo consent information Promotional materials Coach certificates Club development templates Bouncy castle docs Staff certificate records Certificate templates Sport-specific files e.g baseball	Reviewable Destroy records as they become obsolete or are no longer required	Community & Culture

5.4.4.	Website (hdsd.org.uk) & Social Media Social media sites: (Meetup, Facebook, Twitter, Flickr	Main sections: <ul style="list-style-type: none"> • News & Events • Sports Directory • Holiday information • School sport • Facilities • Inclusive Activities • Support section • Adult social sports • Staff section with documents for coaches to access, especially remotely) 	Ongoing review & maintenance	Community & Culture
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Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
5.4.5.	Sports Funding bids	Documents relating to application & approval for funding	Reviewable Destroy records as they become obsolete or are no longer required	Community & Culture
5.4.6.	Reaching Higher\ Reaching Higher junior Disability Sports programme	Files covering all aspects of the programme, programme databases	Keep for 7 years then destroy (Need to clarify with WSCC)	Community & Culture WSCC specific requirement. (Run by HDC on behalf of WSCC)
GALLERIES & MUSEUMS				
5.5.1.	Record and Management of the Collection	Inventories Acquisitions Disposals Loans (In/out) Transfer of titles.	Permanent Transfer to storage area after end of administrative use & destroy any duplicates	

5.5.2.	Reporting	Hardback visitor's book.	Reviewable Destroy records as they become obsolete or are no longer required	
5.5.3.	Exhibition Files	Exhibition listing data Photo panels Design material Loaned items	Permanent Electronic records destroyed as they become obsolete or are no longer required.	
5.5.4.	Administrative Documents	Mailing list contacts <ul style="list-style-type: none"> • Friends of Horsham Museum. • E-newsletters • Volunteers updates General enquiries file. 	Reviewable Destroy records as they become obsolete. Removing contact details of those who no longer wish to subscribe to newsletters/updates.	
5.5.5.	Grants for the purchase of acquisitions	Grant submission. Legal documentation including conditions of donation.	Permanent	

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
			Retain for the life of the acquisition or until the acquisition has been sold.	
5.5.6.	Community based projects	Local heritage & cultural groups. Reminiscence group Correspondence	Keep for 5 years then destroy	

5.5.7.	Research Notes	Manuscripts	Permanent Transfer to storage area after end of administrative use & destroy any duplicates	
5.5.8.	Local History Collections – Museums	Catalogue of collection Photographic collection	Permanent Transfer to storage area after end of administrative use & destroy any duplicates	
THEATRE (Capitol)				
Theatre Development				
5.6.1.	Hirers	Details relating to Amateur societies/Hirers - Booking forms - Contact Details	Reviewable Destroy records as they become obsolete or are no longer required	Stored securely
5.6.2.	Box Office records	Spektrix box office system records of: Attendance Bookings Future & past sales	Reviewable Destroy records as they become obsolete or are no longer required	
5.6.3.	Customer records	Marketing database	Reviewable Destroy records as they become obsolete or are no longer required (Customers can amend	

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
			contact preferences & can unsubscribe)	
5.6.4.	Collection of information relating to Assisted Access.	Members List Application forms & supporting documents, including contact info.	Reviewable Destroy records as they become obsolete or are no longer required	
5.6.5.	Participant records	Database of participants for youth projects Performance Licence information	Reviewable Destroy records as they become obsolete or are no longer required	
5.6.6.	Accommodation Records	Digs List List of local accommodation for travelling companies	Reviewed & updated annually Destroy records if they are no longer required.	
5.6.7.	Contacts	Contact details for Volunteer, Casual & Employed Staff Contact details for the Press	Reviewed & updated annually Destroy records if they are no longer required.	
5.6.8.	Contacts	Contact details for Volunteer, Casual & Employed Staff	Reviewed & updated annually Destroy records if they are no longer required.	
TOWN & DISTRICT EVENTS				

5.7.1.	Annual Events arranged by Council	Correspondence Promotional Material Meeting Notes (Internal\External) Photographs	Reviewable Destroy records as they become obsolete or are no longer required.	Economic Development
5.7.2.	Annual Events Run in Partnership with external bodies	Correspondence Promotional Material Meeting Notes	Reviewable	Economic Development

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
		Partnership Agreements Photographs	Destroy records as they become obsolete or are no longer required.	
5.7.3.	One-off Events (Including events that are no longer held) arranged by Council	Correspondence Promotional Material Meeting Notes (Internal\External)	Keep for 5 years then destroy	Economic Development
5.7.4.	One-off Events (Including events that are no longer held) Run in Partnership with external bodies	Correspondence Promotional Material Meeting Notes (Internal\External)	Keep for 5 years then destroy	Economic Development
5.7.5.	External events (With no direct HDC involvement)	Event notifications (through e-form)	Keep for 5 years then destroy	Community & Culture
5.7.6.	External events (With no direct HDC involvement)	Contact with Community Safety Advice to event coordinator.	Keep for 10 years then destroy	Community & Culture
CAR PARKING				

Parking Enforcement				
5.8.1.	Penalty Charge Notices (PCN) & Enforcement	Live PCNs, where the contravention has not been disputed or the appeal has been overturned. Details of driver, time of offense, photograph of vehicle.	Keep for 6 years plus current year then destroy	Parking
5.8.2.	Penalty Charge Notices (PCN) & Enforcement	Records relating to PCNs, which have been written-off following appeal. Details of driver, time of offense, photograph of vehicle.	Keep for 3 year plus current year then destroy	Parking
Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
Off Street Car Parks				
5.9.1.	Records of disabled clients	Shopmobility Clients with disabilities Name, Details of disability & age.	Reviewable Destroy records when they are no longer required.	Parking
5.9.2.	Records of visitors to the car park	Vehicle registration numbers (VRN) obtain from ANPR system held in SilverCentral. Time of entry, payment records & exit time.	Records can be deleted after 5 years .	Parking

5.9.3.	List of vehicles, which are entitled to free parking in ANPR car park.	Records of VRNs for employees of companies with an allocated number of spaces. Records of employees VRNs who have paid for parking permits. Records of employees	Reviewable Destroy records when they are no longer required.	Parking
5.9.4.	Membership for parking schemes	Records of customers who have subscribed to parking schemes: SmartPark subscribers	Keep for the final year of subscription plus 6 years.	Parking
5.9.5.	Development, implementation and management of car parks which are owned and run by the local authority	Inspections Reactive works :- Surface Lighting Line markings Pay machines Electricity meters Electricity charge points Drains	Retain from year records created for 6 years	Property Limitation Act 1980 (Sec. 2)
5.9.6.	Provision and maintenance of car parking facilities attached to council buildings	WSCC	Retain from year records created for 6 years	Limitation Act 1980 (Section 2)

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6. Customer Contact

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
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COMMUNICATIONS				
Compliments and Complaints				
6.2.1.	Complaints	Stage 1 (initial) complaints received & resolution as recorded in covalent	3 Years	Customer Services
6.2.2.	Complaints	Stage 2 complaints (escalated to Chief Executive) & resolutions as recorded in covalent	6 Years	Customer Services
6.2.3.	Complaints	Complaints referred to Local Government & Social care Ombudsman	10 Years	Customer Services
6.2.4.	Habitual Complainants	Details of campaigners & other complainants who regularly\routinely submit complaints to the Council	10 Years	Customer Services
6.2.5.	Complements		1 year	Customer Services
Other Direct Feedback from the public				
6.3.1.	E-mail feedback	E-mail received through “Your Say” email inbox. “Your Say” contact forms	1 year	Customer Services

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
Customer Services Desk				
6.4.1.	Visitor Sign in Sheets	Record of visitors to Council offices	3 Months	Customer Services
Service Performance Management				
6.5.1.	Performance statistics	Performance reports in relation to customer services	2 Years	Customer Services
6.5.2.	Performance statistics	Satisfaction Surveys	10 Years (Personal Data need to be removed from opinions within 1 year)	Customer Services
6.5.3.	Performance statistics	Residents Surveys	10 Years (Personal Data need to be removed from opinions within 1 year)	Communications

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7. Democratic Processes

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
CIVIC & ROYAL EVENTS				
7.1.1.	The recording of ceremonial events & civic occasions.	Visitor book/guest list Photographs Engagement Lists Condolence Book	Permanent Transfer to storage area after the end of administrative use and destroy any duplicates	Chief Executive & Dirs. Office
7.1.2.	The recording of ceremonial events & civic occasions.	AGM Records	Keep for 2 years then destroy	Chief Executive & Dirs. Office
7.1.3.	Organising a ceremonial event or civic occasion		Destroy 5 years after administrative use ends.	Chief Executive & Dirs. Office
COUNCIL & COMMITTEE MEETINGS				
7.2.1.	Minute Taking Notes	Notes/draft/rough minutes	Destroy after next meeting when minutes have been approved	Committee & Elections

7.2.2.	Minute Taking Notes	Notes/draft/rough minutes	Destroy after next meeting when minutes have been approved	Committee & Elections
7.2.3.	All other background papers	Background papers listed in reports & other supporting papers	Keep for 4 years then destroy	Committee & Elections Access to Information Act 1985
7.2.4.	Record of Members' Attendance	Signed attendance lists	Keep for 2 years then destroy	Committee & Elections
Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
7.2.5.	Minute books of signed minutes	Council/Cabinet/Committees	Permanent Send to County Records Office (Archivist) after the end of administrative	Committee & Elections
Partnership, Agency & External Meetings				
7.3.1.	Business for partnership & agencies consideration & making the record of discussion, debate & resolutions, where the Council legally owns the record	Documents establishing the committee & minutes	Permanent	Committee & Elections
7.3.2.	Business for partnership & agencies consideration & making the record of discussion, debate & resolutions, where the Council legally owns the record	Agendas & reports	Keep for 6 years then destroy	Committee & Elections

7.3.3.	Business for partnership & agencies consideration & making the record of discussion, debate & resolutions, where the Council legally owns the record	Background papers & other supporting documents	Keep for 4 years then destroy	Committee & Elections
7.3.4.	The process of preparing business for external committees' considerations & making the record of discussion, debate & resolutions where the Council does not own the record	Documents establishing the committee Reports Recommendations Background papers & other supporting documents	Keep for 6 years then destroy	Committee & Elections

ELECTIONS				
Ballot Papers & other Election Documents				
7.4.1.	All elections	Securely stored in Electoral Services storage area (currently MT Garage), then confidentially destroyed Not available for public inspection. Only opened under court order	1 year	Committee & Elections Representation of the Peoples Act 1983 PER 58
Election Account Paperwork				
7.5.1.	Parliamentary, European Parliamentary	Kept by Senior Electoral Services Officer, archive purposes	5 years (until superseded by next election)	Committee & Elections
7.5.2.	Parliamentary, European Parliamentary	Background papers	2 Years	Committee & Elections

7.5.3.	County/District/Parish/Police & Crime Commissioner	Kept by Senior Electoral Services Officer, archive purposes	4 years (until superseded by next election)	Committee & Elections
7.5.4.	County/District/Parish/Police & Crime Commissioner	Background papers	2 Years	Committee & Elections
Election Expenses				
7.6.1.	Parliamentary/County/District/Parish	Stored in Electoral Services Office Available for public inspection	2 years After retention period, returned to candidates upon request or confidentially destroyed	Committee & Elections Representation of the Peoples Regulations 2001
Election Management Documentation				
7.7.1.	Parliamentary/European Parliamentary	Kept by Electoral Services Manager Archive purposes	5 years (until superseded by next election)	Committee & Elections
7.7.2.	County/District/Parish/Police & Crime Commissioner	As above	4 years (until superseded by next election)	Committee & Elections
Marked Registers				
7.8.1.	All elections	Stored in Electoral Services Office	Confidentially destroy after 1 year	Committee & Elections Representation of the Peoples Regulations 2001

Nomination Papers				
7.9.1.	Parliamentary/County/District/Parish	Stored in Electoral Services Office	Confidentially destroyed	Committee & Elections
7.9.2.	European Parliamentary/Police & Crime Commissioner	Held by relevant lead authority	1 year (EP) / after close of nominations (PCC)	Committee & Elections
ELECTORAL REGISTRATION				
Absent Voting Forms				
7.10.1.	E.g. Publicity, performance standards, canvass process & staff	Kept by Electoral Services Manager, archive purposes	5 years (cyclical electoral issues)	Committee & Elections
Electoral Registration Forms				
7.11.1.	Overseas electors forms	Current year & past years scanned images		Committee & Elections
7.11.2.	Annual canvass	As above		Committee & Elections
7.11.3.	Rolling registration	As above		Committee & Elections
7.11.4.	Service voters	As above		Committee & Elections
7.11.5.	Declaration	As above		Committee & Elections
Register of Electors & Monthly Alterations				

7.12.1.	Last 15 years (currently retaining 17 years in anticipation of change to lifetime right)	Held in Electoral Services Office - to allow for overseas elector checks		Committee & Elections
HONOURS SUBMISSIONS				
7.13.1.	Preparing of honours submissions	Honours nomination form Covering documentation Letters of support	Destroy 5 years after last action	Chief Executive & Dirs. Office
POLITICAL PARTIES PAPERS				
7.14.1.	Statutory Records relating to Council Members	Declarations of acceptance of office including written undertaking to comply with Code of Conduct	Permanent	Committee & Elections
7.14.2.	Statutory Records relating to Council Members	Declaration of acceptance of office of Chairman & Vice-Chairman	Permanent	Committee & Elections
7.14.3.	Statutory Records relating to Council Members	Register of financial & other interests	Reviewable Destroy records at end of individual Members' terms of office	Committee & Elections
7.14.4.	Statutory Records relating to Council Members	Register of gifts & hospitality Individual written notifications	Keep for 4 years then destroy	Committee & Elections
7.14.5.	Register of membership of political groups		Reviewable Destroy records after 4 years (at end of each Council term)	Committee & Elections

8. Economic Development

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
ECONOMIC DEVELOPMENT				
8.1.1.	Publications	Business Directory & Database	Permanent Updated quarterly in line with frontage surveys – stored on server	Economic Development
8.1.2.	Economic & Demographic Research Analysis	Research & analysis results Requests for data	Keep for 5 years plus current year then destroy	Economic Development
8.1.3.	Economic Data	Statistics & figures	Keep for 5 years plus current year then destroy any previous data.	Economic Development
8.1.4.	Support & advice to local businesses	Training opportunities Funding support Workshops	Keep for 6 years plus current year then destroy	Economic Development Limitations Act 1980
Journey to Work Programme				
8.2.1.	Journey to Work Programme Information relating from Job Seekers	CVs from job seekers	Destroy Records following completion of their programme.	Economic Development

8.2.2.	Journey to Work Programme Information relating from Job Seekers	Contact details Record of department worked in.	Keep for 5 years then destroy	Economic Development
8.2.3.	Communication with business partners	Communications with partners relating to employment opportunities. Communications with DWP/Job Centre Plus	Keep for 6 years plus current year then destroy	Economic Development

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
Support for Business				
8.3.1.	Business Events (Attendees)	Documentation relating to Events or Festivals.	Keep for 1 year then destroy	Economic Development
8.3.2.	Business Events (Non Attendees)	Organisations that were contacted but declined the invitation.	Keep for 1 month then destroy	Economic Development
8.3.3.	Business Links	Business Newsletter. Business Directory/Contacts Liaisons with partner organisations.	Keep for 6 years plus current year then destroy	Economic Development
Business And Employment- Commercial Property				
8.4.1.	Provision of office & industrial business space for rent to businesses in the local community.	Communication Rent Agreement Contract Commercial Estate Agents	Retain from year records created for 6 years	Property Limitation Act 1980 (Sec. 2)

8.4.2.	Information on commercial lettings available within the area	Communication Commercial Estate Agents Rent agreement Contract Condition reports Asbestos reports Void periods	Retain from year records created for 1 year	
8.4.3.	Information and advice on vacant industrial/office/retail/land and development opportunities in the area.	Communication Reports Scope Planning application Feasibility Cost analysis	Retain from year records created for 1 year	
8.4.4.	Voluntary property acquisition	List of Property/Land	Retain from date property acquired until ownership of the property ends.	Limitation Act 1980 (Section 2)
Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
GRANTS & FUNDRAISING OPPORTUNITIES				
8.4.5.	European Grants European Social Fund European Regional Development Fund	Visitor Economy Strategy. Formal applications Offer letters Interim & final claims Audit Reports	Destroy 5 years after release of the final payment.	Economic Development
8.4.6.	Records on grant funding	Local Enterprise & Apprenticeship Platform (LEAP) Full records	Keep for 2 years plus current year then destroy	Economic Development

8.4.7.	Records on grant funding	Local Enterprise & Apprenticeship Platform (LEAP) Records of Recipients & the value		Economic Development
8.4.8	Reopening High Streets Safely Fund	Formal applications Offer letters Correspondence from and to MHCLG Grant Funding Agreement Interim & Final claims Audit Reports Evidence of: Project expenditure Procurement documentation Publicity requirements Outputs	All documents and electronic records to be retained for two years after the submission of the Annual Control Report. Detailed records and supporting documentation will be kept for 10 years after the last aid is granted under the scheme until 2023 meaning documents will be retained until at least 2033	Economic Development

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9. Environment

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
ENFORCEMENT, CERTIFICATION & PROSECUTION				
Registration, Certification & Licensing				

9.1.1.	Taxi Licensing Files	Public register of licensed taxi drivers	Reviewable Destroy records as they become obsolete or are no longer required.	Environmental Health & Licensing. Local Government (Miscellaneous Provisions) Act (1976) Town Police Clauses Act (1847)
9.1.2.	The administration of applications, registration certification & licences in relation to the authority's registration requirements	Certificates of registration of: <ul style="list-style-type: none"> Personal Licenses sale of Alcohol Taxi drivers 	Reviewable Destroy records as they become obsolete or are no longer required	Environmental Health & Licensing.
9.1.3.	DBS Check Documents	DBS checks obtained for Taxi Drivers	Retain until a decision has been made (subject to appeal) then destroy. NB Retain copy of DBS certificate number only	Environmental Health & Licensing. Council Policy/DBS Code of Practice.
9.1.4.	The administration of applications, registration certification & licences in relation to the authority's registration requirements	Application for animal registration Application for registration of a business premises Application for release of animals impounded Registers Certificates of registration of: <ul style="list-style-type: none"> Regulated entertainments Beauty therapists 	Destroy 3 years after registration or entitlement lapses	Environmental Health & Licensing.

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
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		<ul style="list-style-type: none"> • Animal movements • Gaming • Registration to sell poison • Public entertainment licence matters. 		
9.1.5.	The administration of applications, registration certification & licences in relation to the authority's registration requirements	Certificates of registration of: <input type="checkbox"/> Town Centre Buskers.	Keep for 1 year from registration.	Environmental Health & Licensing.
9.1.6.	Opposition to the granting of liquor of Gambling establishment licences	Premises licence files	Reviewable Destroy records as they become obsolete or are no longer required	Environmental Health & Licensing. Licensing Act (2003)
9.1.7.	Notes taken from visits to establishments	Visits to premises licensed to sell alcohol. Visits to betting shops.	Reviewable Destroy records as they become obsolete or are no longer required. Destroy previous record of visit.	Environmental Health & Licensing.
9.1.8.	Temporary Event Notices	Town centre events, Charity events Vehicle parked in the Town Centre that is to be used as an information centre	Keep for 1 year from registration	Environmental Health & Licensing.
9.1.9.	Permission to host events (HDC land and Properties).	License Documentation Insurance documentation Registered business details Contact details Communication	Retain from year records created for 6 years	Property Limitation Act 1980 (Sec. 2)

9.1.10.	Skip permits (HDC Land and Properties)	License Documentation Contact details Communication Insurance documentation	Retain from year records created for 6 years	Property Limitation Act 1980 (Sec. 2)
Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
9.1.11.	Process involved in licensing sites for the holding or use of toxic or hazardous substances	Diesel licences Petroleum licences Health & safety licensing Hazardous substances Contaminated land register	Permanent Transfer to storage area after the end of administrative use and destroy any duplicates	Environmental Health & Licensing.
DRAINAGE AND FLOOD MANAGEMENT				
9.2.1.	Drainage approvals	Ordinary Watercourse Consent (OWC)	Permanent Transfer to storage area after the end of administrative use and destroy any duplicates	Ordinary Watercourse Regulations, transferred from the EA under the <i>Flood & Water Management Act 2010</i> to Lead Local Flood Authorities (LLFA) in 2012. Under agreement with WSCC
9.2.2.	Flood Risk Management Authority Records	Records relating to our joint responsibility (with WSCC)	Permanent Transfer to storage area after the end of administrative use and destroy any duplicates	As required by WSCC (Lead Local Flood Authority)
9.2.3.	Reservoir Records ~ Warnham Pond (Joint undertaking with Environment Agency)	Records (in prescribed form) relating to our "High-Risk" Reservoir, including: <ul style="list-style-type: none"> Inspection reports, Maintenance reports 	Permanent Transfer to storage area after the end of administrative use and destroy any duplicates	Reservoir Act

9.2.4.	The activity of recording information on drainage at specific sites or where a policy/plan deals with drainage	Planning Application responses/ consultation responses	Permanent	Strategic Planning Flood & Water Management Act 2010 Land Drainage Act 1991 Reservoirs Act 1975
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ENVIRONMENTAL HEALTH				
Investigation, Inspection & Monitoring				
9.3.1.	The process of investigation & monitoring where inspection is the Council's responsibility by law	Inspection records compliance inspections	Destroy 7 years after last action	Environmental Health & Licensing.
9.3.2.	Food & Hygiene Inspections	Kitchen inspection report	Reviewable Destroy records as they become obsolete or are no longer required. Replace previous record when new inspection takes place	Environmental Health & Licensing.
9.3.3.	Complaints leading to Inspections	Food premises complaints Licensing complaints Noise complaints Premises complaints Housing complaints	Destroy 7 years after last action	Environmental Health & Licensing.

9.3.4.	Infectious Diseases Notifications	Infectious disease case records Sporadic occurrences & outbreaks Animal movement orders	Keep for 7 years then destroy	Environmental Health & Licensing.
Compliance				
9.4.1.	Compliance Notices	Detailed records of: <ul style="list-style-type: none"> Food Safety notices Health & Safety notices Housing Notices Nuisance Abatement Notices 	Destroy 3 years after conclusion of the matter.	Environmental Health & Licensing.
9.4.2.	Compliance Notices	Records that compliance notices have been served.	Permanent Transfer to storage area after the end of administrative use and destroy any duplicates	
Monitoring				
9.5.1.	Air Quality	Monitoring Data	Permanent Transfer to storage area after the end of administrative use and destroy any duplicates	Environmental Health & Licensing.
9.5.2.	Contamination	Monitoring Data	Permanent Transfer to storage area after the end of administrative use and destroy any duplicates	Environmental Health & Licensing.

WASTE MANAGEMENT				
9.6.1.	Publications	Website documents leaflets Waste Disposal Plan Code of Practice	Reviewable Destroy records as they become obsolete or are no longer required	Waste & Recycling
9.6.2.	Waste Management Files	Litter bins Vandalism	Keep for 6 years then destroy	Waste & Recycling
9.6.3.	CCTV footage recorded by refuse vehicles	CCTV	20 working days, footage is overwritten when recording disc ends – If a request is made the footage will be removed from the truck and retained for 2 years after dispute is settled	Waste & Recycling
Recycling				
9.7.1.	Recycling Files	Statistics Waste Management Plan	Reviewable Destroy records as they become obsolete or are no longer required	Waste & Recycling
Waste Collection				
9.8.1.	The process of arranging the collection or transportation of Trade Waste	Contract documents Billing details	Destroy 6 years after the conclusion of the year in which they were created	Waste & Recycling

Waste Disposal				
9.9.1.	The process of the short term storage of household waste	Rental Agreement ~ Transfer sites	Destroy 10 years after the site closure	Property

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10. Finance

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
EXCHEQUER FUNCTIONS				
Payments				
10.1.1.	Supplier/Creditor Details	Records to support payment to suppliers/creditors. Contact Details (including e-mail) Bank Details VAT Registration Number	Destroy 6 years after the end of the financial year in which the last transaction was recorded for the supplier/creditor.	
10.1.2.	Supporting documentation for payments through the Creditors system.	Orders/Invoices Cash books Payment Requests Periodic payment records Credit notes Delivery notes (Finance System).	Destroy 6 years after the end of the financial year in which the records were created	Statutory; however this period may by reduced with the agreement of HM Revenues & Customs VAT Act (1994)

10.1.3.	Supporting documentation for payments made using Purchase Cards or petty cash.	Purchase card statements Receipts Cash payment receipt records Credit card payment system receipt records	Destroy 6 years after the conclusion of the year in which they were created	
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Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
10.1.4.	Monitoring of Creditors	Creditor history records & reports	Destroy 6 years after the conclusion of the year in which they were created	
10.1.5.	Petty Cash Records	All petty case records including receipts & summary cash books Statements of outstanding accounts/orders/accounts payable Debit note books	Keep for 2 years then destroy	
10.1.6.	Internal Requisition Record	Service recharges Printing requests	Keep for 1 year plus current then destroy	
Payroll				
10.2.1.	Documents that relate to the setting up of new Employees/Members on the payroll, or amendments to existing Employees/Members records.	Payroll Amendment Forms Personal Bank Account Details HR E-Mail Requests. Authority sheets Payroll deduction authorities Payroll disbursement Employee pay records Employee taxation records	Reviewable Destroy records as they become obsolete or are no longer required	HR & Finance

10.2.2.	Statutory Payment records & calculations	SSP SPP SMP WFTC	Reviewable Destroy records as they become obsolete or are no longer required	HR & Finance
10.2.3.	Payroll records Documents that relate to payroll adjustments.	Protected salary details Timesheets - Overtime pay Allowances Other Enhancements Non-statutory payroll deductions Approval for Honorarium	Reviewable Destroy records as they become obsolete or are no longer required	Finance
10.2.4.	Communications relating to existing or former employees or members	e-mails Letters	Reviewable Destroy records as they	Finance

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
		Query Log Mortgage reference requests Overpayment Documentation (letters)	become obsolete or are no longer required	
10.2.5.	Documents relating to statutory deductions	Tax forms Income tax returns NI number changes Taxation code notification	Destroy 3 years after the end of the financial year in which the records were created	Finance
10.2.6.	Documentation relating to other deductions	Car parking Union fees	Destroy records as they become obsolete or are no longer required	Finance

10.2.7.	Documentation relating to loans or advances	Advances for season tickets Recovery of Advances	Destroy 3 years after the end of the financial year in which the records were created	Finance
10.2.8.	Statutory Reporting	HMRC (P38,P45,P46,P6,P11D) HMRC status of casuals Supporting documentation	Destroy 3 years after the end of the financial year in which the records were created	Finance
10.2.9.	BUPA/life insurance cover	Details of officers with BUPA Cover	1 year	Finance
10.2.10.	Summary employee pay reports	Summary employee pay reports Monthly BACS listings	Reviewable Destroy records as they become obsolete or are no longer required	Finance
10.2.11.	Payroll reconciliation sheets	Spreadsheet documents used to match payments to General Ledger & Bank Account	Destroy 1 years after the end of the financial year in which the records were created	Finance
Pensions				
10.3.1.	Pensions	Estimates & awards Requests – post employment	Destroy 6 years after the employee leaves employment	The Pensions Regulator Guidance: 9. Keeping Records
Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
INSURANCE				

Records all held by Adur\Worthing Insurance Officer on behalf of the Council

TRANSPORT MANAGEMENT				
10.4.1.	Mileage Records	Truckfile fleet management records	Reviewable Destroy records as they become obsolete or are no longer required	
10.4.2.	The process of acquisition & disposal of vehicles.	Leases Contracts Quotes Approvals Fleet authorisation numbers	Destroy 6 years after the conclusion of the year in which they were created	
10.4.3.	The process of managing allocation of maintenance of vehicles	Truckfile fleet management records	Destroy 2 years after the sale or the disposal of the vehicle	
10.4.4.	The process that records insurance claims against the Council or officers	Initial claims reports Accident reports	Destroy 7 years after all obligations/entitlements are concluded (allowing for the claimant to reach 25 years of age)	Limitations Act (1980)? (See Insurance above).
10.4.5.	Vehicle Leasing & Mileage Records	Lease agreements, Vehicle records.	Keep for 3 years after end of leasing agreement then destroy	Finance

11. Health & Safety

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
RELATING TO OFFICERS/PEOPLE				
11.1.1.	Health & Safety Policy	Policy, safe systems of work etc.	Retain for current year + 3 years	Corporate Best Practice
11.1.2.	Training records	Records of staff attendance at H&S training	Retain for 6 years after employment ceases	Corporate Best practice
11.1.3.	Risk assessments	Assessment of: <ul style="list-style-type: none"> • Staff activities, tasks, operations etc; • Lone working; • Home working; • Expectant & nursing mothers; • Stress; • Manual Handling;DSE. 	Retain for 3 years after being superseded	Corporate Management of Health & Safety at Work Regulations 1999 + other H&S regulations
11.1.4.	Risk assessments (Young persons)		Retain for 3 years after person reaches 18 years of age	Corporate Management of Health & Safety at Work Regulations 1999 + other H&S regulations
11.1.5.	Health surveillance	Health records of employees exposed to harmful agents	Retain health records for at least 40 years from the date of last entry	Corporate Management of Health & Safety at Work Regulations 1999 + other H&S regulations

11.1.6.	Consultation	Records of consultations with safety representatives & committees	Permanent Transfer to storage area after the end of administrative use and destroy any duplicates	Corporate Best practice
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Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
RELATING TO BUILDINGS				
11.2.1.	Health & Safety File & other related documents	Building equipment operation & maintenance manuals Building Manual As-built & as-installed drawings	Retain for life of building / structure & pass-on to new owner where applicable	Property Statutory requirement for buildings constructed or refurbished since 1994; Construction (Design & Management) Regulations 2015
General Workplace				
11.3.1.	Risk assessment of workplace, equipment, devices & systems	Risk assessments including: - □ Ventilation / heating; Lighting; • Workstations & seating; • Floors, pedestrian & traffic routes; • Windows, skylights, ventilators; • Doors & gates; • Escalators / moving walkways; • Assessment of Facilities, eating changing etc.	Retain for 3 years after being superseded	Workplace (Health, Safety & Welfare) Regulations 1992

11.3.2.	Emergency lighting	Test certificates for completed installation of system or equipment	Records to be retained for life of system or equipment	BS 5266:2016 (various parts) - Emergency lighting
11.3.3.	Emergency lighting	Tests & maintenance (will depend on equipment types)	Retain for current year + 3 years	Workplace (Health, Safety & Welfare) Regulations 1992
11.3.4.	Audit / inspection reports	internal or external review reports	Retain for current year + 3 years	Management of Health & Safety at Work Regulations 1999 + many other H&S regulations
11.3.5.	Surveys relevant to the building	Noise, air quality surveys etc.	Retain until a further assessment is made but add to health records where necessary	Various legislation

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
11.3.6.	On-site health & safety procedures	Local site rules relating to health, safety & welfare induction documents	Display until superseded	Best practice
11.3.7.	Key contacts	Emergency contact details: - □ Suppliers, e.g. gas, electrical, water etc, including outside hours; □ Maintenance contractors.	Display until superseded	Best practice
11.3.8.	Information provided to visitors/ contractors working in premises	Signing in/out records Procedures	12 months or current year +3 years if an accident occurs during the visit	Limitations Act 1980

RELATING TO EQUIPMENT				
Lifting Equipment				
11.5.1.	Written report of thorough examination of lifting equipment	<ul style="list-style-type: none">Usually undertaken at 6 or 12 month intervals according to equipment type;Includes passenger & goods lifts.	<ul style="list-style-type: none">Reports on lifting accessories to be kept for 2 years.Reports for nonaccessories to be kept for life of equipment.Reports of defects to be kept for at least 2 years.	Lifting Operations & Lifting Equipment Regulations 1998
11.5.2.	Manufacturer’s documents	Instructions, manuals & other technical documents.	Retain for life of equipment & pass-on to new owner where applicable	Lifting Operations & Lifting Equipment Regulations 1998
Work at Height Equipment				
11.6.1.	Written report of examination / testing of work at height equipment	May interface with lifting equipment; Includes fixed & portable equipment.	As above under LOLER	Lifting Operations & Lifting Equipment Regulations 1998
Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation

11.6.2.	Inspection reports	6 or 12 mthly reports on Ladders / stepladders; Report at least every 7 days on Mobile scaffold towers – (after assembly or significant alteration) before use & following any adverse event; 6 monthly examinations of MEWPs as required by LOLER.	For ladders, stepladders & mobile scaffold towers, retain for 12 months or current year +3 if an accident occurs during use For MEWPs, see above under LOLER	Work at Height Regulations 2005 Lifting Operations & Lifting Equipment Regulations 1998
Pressure Systems				
11.7.1.	All information relating to the design, construction, examination, operation & maintenance of a pressure system	May be part of Health & Safety File and/or Operation & Maintenance Manuals	Retain maintenance records for life of equipment	Pressure Systems Safety Regulations 2000
11.7.2.	Records of examination of a pressure system	Examinations according to an examination scheme	Examination records to be retained until superseded	Pressure Systems Safety Regulations 2000
Electrical Systems & Equipment				
11.8.1.	Inspection & maintenance of electrical equipment (PAT)	Not specified in Regulations	Records to be retained for life of system or equipment	Electricity at Work Regulations 1989
11.8.2.	Installation certificates for completed electrical works	Required after installation of electrical system or equipment	Records to be retained for life of system or equipment	18th Edition IET Wiring Regulations (BS 7671:2018) – from July 2018. Part P, Building Regulations 2000 (dwellings)

11.8.3.	Inspection & maintenance of electrical systems	Systems include: - • Mains; • Earth bonding; • Lightning protection.	Records to be retained for life of system or equipment; Reference needed to latest edition of IET Regs (see above). See BS EN 62305 - Protection against lightning.	Electricity at Work Regulations
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Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
Water Systems				
11.9.1.	Risk assessment of water systems, schematics & management plan	Assessment for legionella risk Agreed Maintenance & management plans	Records retained throughout the period for which they remain current & for at least 2 years after that	Control of Substances Hazardous to Health Regulations 2002 HSE Approved Code of Practice, L8
11.9.2.	Records of maintenance, monitoring, inspection, test or checks of water systems	Competence is dependent on the needs of the situation & the nature of the risks involved	Results of any monitoring, inspection, test or checks retained for at least 5 years	Control of Substances Hazardous to Health Regulations 2002 HSE Approved Code of Practice, L8
Gas Systems & Other Heating Equipment				
11.10.1.	Gas appliances - Manufacturer's instructions	Installer supplies to owner or occupier of premises	Retain for life of equipment	Gas Safety (Installation & Use) Regulations 1998 & Gas Safety (Installation & Use) Amendment Regulations 2018

11.10.2.	Maintenance of gas appliances, pipework and flue	Records of maintenance carried out to ensure equipment is maintained in accordance with regulation. (Also applies to rented accommodation.)	Keep for 2 years ;	Gas Safety (Installation & Use) Regulations 1998 & Gas Safety (Installation & Use) Amendment Regulations 2018
11.10.3.	Records of maintenance of oil-fired boilers	All work equipment must be maintained – see manufacturer's information	Retain for Also applies to rented accommodation.	Provision & Use of Work Equipment Regulations 1998
Work Equipment				
11.11.1.	Maintenance, servicing, testing & checking records	Records of work equipment maintenance (machines etc) – see manufacturer's information	Retain for life of equipment	Provision & Use of Work Equipment Regulations 1998

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
11.11.2.	Records of inspection of work equipment	Inspection requirements determined by the risk assessment	Advise retain for life of equipment or while equipment is in ownership	Provision & Use of Work Equipment Regulations 1998
FIRE SAFETY				
11.12.1.	Fire safety information	Information sheet	Retain for life of building / structure & pass-on to new owner where applicable	Property Statutory requirement for buildings constructed or refurbished since 1994; older buildings may not have this. Building Regulations 2000

11.12.2.	Fire risk assessment	Fire Risk Assessment Results Work Request	Retain for 3 years after being superseded. Requires annual review or when something changes	Property Regulatory Reform (Fire Safety) Order 2005
11.12.3.	Fire risk assessment- residential property	Fire Risk Assessment Results Work Request Communication	Retain from date of risk assessment for 6 years	Property Limitation Act 1980 (Sec. 2)
11.12.4.	Processing of applications, inspecting premises and issuing fire certificates in factories, offices and shops.	Planned Preventative Maintenance Schedule Certificates Work Requests Communication	Retain from date of risk assessment for 6 years	Property The Regulatory Reform (Fire Safety) Order 2005
11.12.5.	Emergency plans	Fire safety Other non-fire emergencies, e.g. bomb threat Plan of site showing position of main incoming services & points of isolation in case of emergency	Retain until superseded	Regulatory Reform (Fire Safety) Order 2005
11.12.6.	Fire drill tests	At least twice per year	Retain for current year + 3 years	Regulatory Reform (Fire Safety) Order 2005

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
11.12.7.	Fire detection / Alarm installations	Test certificates for completed installations (Required after installation of system or equipment)	Records to be retained for life of system or equipment	Required after installation of system or equipment

11.12.8.	Fire alarm tests	Weekly records	Retain for current year + 3 years	Regulatory Reform (Fire Safety) Order 2005
11.12.9.	Fire equipment maintenance	<ul style="list-style-type: none"> Maintenance will depend on equipment types Includes fixed & portable extinguishing equipment, fire detection, etc. 	Retain for current year + 3 years	Regulatory Reform (Fire Safety) Order 2005
11.12.10.	Permit to work	Expired hot work permits	Retain for 12 months or current year +3 if an accident occurs during the period that the permit was valid	Best practice
ACCIDENT & INCIDENTS				
11.13.1.	First Aid risk assessment	Documents related to the assessment of risk	Retain for 3 years after being superseded	Regulatory Reform (Fire Safety) Order 2005
11.13.2.	Names of First Aiders	Display in prominent places	Display until superseded	Health & Safety (First Aid) Regulations 1981
11.13.3.	Accident Book	Records of accidents resulting in fatality, injury & / or loss & diagnosis of workrelated disease Specified dangerous occurrences (RIDDOR)	18 or over - disposal date = current year + 3 years Under 18 - disposal date = the year they attain their age of 18 + 3 years Exposure to hazardous substance (e.g. asbestos, lead) incident - disposal date = current year + 40 years	Social Security (Claims & Payments) Regulations 1979 Reporting of Injuries, Diseases & Dangerous Occurrences Regulations (RIDDOR) 2013 Limitations Act 1980

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
HAZARDOUS SUSTANCE CONTROL (COSHH)				
11.14.1.	Examination & testing of fixed COSHH control measures	Extraction ventilation usually 14 monthly	Retain records for at least 5 years	Control of Substances Hazardous to Health Regulations 2002
11.14.2.	Health surveillance	Record of monitoring the health of exposed employees	Retain for 40 years from the date of the last entry	Control of Substances Hazardous to Health Regulations 2002
11.14.3.	Monitoring exposure	Records of the exposure of employees to substances hazardous	Record of the personal exposures of identifiable employees, retain for at least 40 years In any other case, for at least 5 years	Control of Substances Hazardous to Health Regulations 2002
11.14.4.	COSHH assessments	Assessment of risk to health from use of hazardous substances	Retain for as long as it is valid & for 3 years after being superseded	Control of Substances Hazardous to Health Regulations 2002
11.14.5.	Material Safety Data Sheets	Provided by manufacturers / suppliers & give information on chemicals to help users of those chemicals to do a COSHH assessment	Retain with relevant COSHH assessment (see above)	EU regs: Registration, Evaluation, Authorisation & Restriction of Chemicals (REACH), and Classification, Labelling & Packaging of Substances & Mixtures (CLP)

CONFINED SPACES				
11.15.1.	Confined spaces register & associated confined space entry requirements	Records relating to any chamber, tank, vat, silo, pit, trench, pipe, sewer, flue, well or other similar space in which, because of its enclosed nature, there arises a foreseeable risk	Retain whilst there are confined spaces on-site	Confined Spaces Regulations 1997

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12. Housing

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
HOUSING SERVICES				
12.1.1.	Core Data	Individuals whose records are held within the Housing Management System.	Reviewable Destroy records as they become obsolete or are no longer required.	Housing
Homelessness & Allocations				
12.2.1.	Housing Applications	Housing register. Application forms & other records relating to individuals applications for housing within the Horsham District.	Keep for 1 year plus current Financial year then destroy.	Housing

12.2.2.	Homeless Applications	Application forms and other records relating to homeless people living within the Horsham District	Keep for 1 year plus current Financial year then destroy.	Housing
12.2.3.	Private Rented Lettings	Details of individuals housed within private lettings.	Keep for 3 years following the year that the case closed then destroy.	Housing
12.2.4.	Short term and emergency accommodation for homeless people	Work Request List of properties Planned preventative maintenance Reactive maintenance & Void works	Retain from last contact for 6 years	Property HMRC- Compliance Handbook Manual CH15400
12.2.5.	Provision of hostels and emergency accommodation	Work Request List of properties Planned preventative maintenance Reactive maintenance & Void works	Retain from creation of records for 6 years	Property

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
Other Information				
12.3.1.	Housing Advice & Assistance	Details of support provided to individuals in order to reduce housing needs.	Keep for 3 years following the year that the case closed then destroy.	
12.3.2.	Details of former residents\tenants Rent Accounts.		Keep until account balance is cleared then destroy.	

12.3.3.	Tenancy Deposit Scheme records	Records of individuals who have been provided with tenancy deposits.	Reviewable Destroy records as they become obsolete or are no longer required.	
12.3.4.	Funding & Grants	Affordable housing grant bids Annual development programme bids Homelessness funding	Keep for 6 years then destroy	
Housing Improvement and Repairs (Council Owned)				
12.4.1.	Communal area repair within council accommodation	Reports Results Work requests Assessment	Retain from date of assessment for 6 years	Property Limitation Act 1980 (Sect. 2)
12.4.2.	Emergency out of hours housing repairs	Housing repairs, renovation major works and planned maintenance relating to specific properties, external maintenance of grounds and building cleaning	Retain from end of tenancy for 6 years	Property Limitation Act 1980 (Sect. 2)
12.4.3.	House surveying - major repairs	Surveys, Results Planned Maintenance Tender Re homing Communication	Retain from date of the survey for 6 years	Property Limitation Act 1980 (Sect. 2)
Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation

12.4.4.	Demolition of property and offer of alternative housing	Communication Survey Housing Department Results	Retain from end of tenancy for 6 years	Property Limitation Act 1980 (Sect. 2)
12.4.5.	Provision of temporary accommodation to tenants whilst major works are being carried out	Communication Housing Survey Results Tender	Retain from end of tenancy for 6 years	Property Limitation Act 1980 (Sect. 2)
12.4.6.	Management of housing modernisation schemes	Old stock assessment survey Cost Analysis Sell Demolish Purchase Build New Stock	Retain from last action on the scheme for 6 years	Property Limitation Act 1980 (Sect. 2)
12.4.7.	Display Energy Certificates	Assessment Work Request Results New Certificate	Retain from date created for 7 years	Property Limitation Act 1980 (Sect. 2)
Private Sector Housing Grants & Assistance				
12.5.1.	Repair Grants	Minor Repair Assistance Grant Repair Assistance Grant	Keep until the property is sold.	Environmental Health & Licensing.
12.5.2.	Empty Property Grants	Assistance to bring properties back into use.	5 Years	Environmental Health & Licensing.
12.5.3.	Disabled Facilities Grants	Grants to pay for works recommended by Occupational Health.	Keep for 10 years then destroy	Environmental Health & Licensing.

13. Human Resources

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
APPOINTMENT OF STATUTORY OFFICERS				
13.1.1.	The appointment of an individual to a statutory position	Appointment files	Permanent - transfer to pdf or similar and destroy any hard copies	HR & OD
13.1.2.	The recruitment process for a statutory position	<ul style="list-style-type: none"> All applications received long-list/ shortlist reports selection testing interview notes 	Destroy 6 months after date of appointment	HR & OD Common Practice
EMPLOYEE RELATIONS				
13.2.1.	Processing of disciplinary and grievances investigations, were <u>unfounded</u>	<ul style="list-style-type: none"> Investigating officers report Outcome report Any other documentation Communications 	Reports & other documentation to be held for 1 year , then destroy Decision letters to be held on e-Personal File until destroyed	HR & OD Custom & Practice
13.2.2.	Processing of disciplinary and grievances investigations where <u>proven</u> , including appeal	<ul style="list-style-type: none"> Investigating officers report Outcome report Any other documentation Communications 	Reports & other documentation to be held on e-Personal File until destroyed	HR & OD Common Practice

13.2.3.	Harassment/ bullying investigation documentation		Same as disciplinary and grievance documents	HR & OD Common Practice
13.2.4.	Employment Tribunal and other claims documentation		Keep for rolling 5 years after end of proceedings, then destroy	HR & OD (to enable FOI reporting if requested)

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
13.2.5.	Employee Relations, miscellaneous		Reviewable - Destroy records as they become obsolete or as relevant keep on Personal File	HR & OD Custom & Practice
13.2.6.	Central record of employee relations activity including disciplinary & grievance actions	Entry on central register	Keep for rolling 5 years for monitoring purposes, then destroy	HR & OD (to enable FOI reporting if requested)
INDUSTRIAL RELATIONS				
13.3.1.	Identification and development of significant directions concerning industrial relations matters	<ul style="list-style-type: none"> • Generic agreements & awards • Negotiations • Disputes • Claims • Local agreements 	Reviewable - Destroy records as they become obsolete or are no longer required Agreements on T&C keep permanently	HR & OD Custom & Practice Contractual
13.3.2.	Liaison processes of minor and routine industrial relations matters	<ul style="list-style-type: none"> • Daily industrial relations management documents • Agendas • Notes of HR/ TU meetings 	Reviewable - Destroy records as they become obsolete or are no longer required	HR & OD Custom & Practice
EQUALITIES				

13.4.1.	Investigation & reporting on specific cases to ensure that entitlements and obligations are in accordance with equality laws and local policies	Inter-agency monitoring	Destroy 6 years after the action is completed	HR & OD Equalities Act 2010
OCCUPATIONAL HEALTH				
13.5.1.	The process of checking and ensuring the health of staff	<ul style="list-style-type: none"> • Medical clearance • Risk assessments • Referral forms • Adjustment to work place • Restrictions • Recommendations 	Keep on e-Personal File and destroy 6 years after the final date of employment	HR & OD Equalities Act 2010

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
13.5.2.	VDU eye tests or similar	OH or optician's report	Keep on e-Personal File and destroy 6 years after the final date of employment	HR & OD Custom & Practice
13.5.3.	Correspondence and reports on employees retired on permanent ill health grounds		Destroy 6 years after the retirement date	
ORGANISATIONAL DEVELOPMENT				
13.6.1.	Restructures - Design & development of organisational structures, job roles & person specifications	<ul style="list-style-type: none"> • Business case & rationale for change • Reports • Briefing & consultation documentation • Proposed/ draft structure charts 	Destroy 6 months after implementation of change	HR & OD Custom & Practice (to keep evidence if challenged in ET)

PERSONNEL ADMINISTRATION				
13.7.1.	The process of administering employees to ensure that entitlements and obligations are in accordance with agreed employment requirements		Keep on e-Personal File and destroy 6 years after the final date of employment	HR & OD
13.7.2.	Records relating to staff working with children and vulnerable adults	DBS checks – e-record type and date of check and reference number on HR system (Technology One)	Delete upon renewal of check or 6 years after the final date of employment	HR & OD
13.7.3.	All other miscellaneous records		Keep on e-Personal File and destroy 6 years after the final date of employment	HR & OD
Employment Conditions				
13.8.1.	Variation of hours and other terms	e-Personal File	Keep on e-Personal File and destroy 6 years after the final date of employment	HR & OD

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
13.8.2.	Employment statistics	Analysis as required by various statute or local monitoring	Reviewable - Destroy records as they become obsolete or are no longer required	HR & OD Custom & Practice

13.8.3.	Personnel Standards	<ul style="list-style-type: none"> Handbook Policy documents Full sets of terms & conditions for separate TUPE exercises 	Permanent - transfer to pdf or similar and destroy any hard copies	HR & OD Contractual
13.8.4.	Corporate Personnel Publications & Reports	Webpages	Permanent - transfer to pdf or similar and destroy any hard copies	HR & OD Best Practice
General Administration				
13.9.1.	General Filing	<ul style="list-style-type: none"> Corporate employee information □ Circulars Journals etc. 	Reviewable - Destroy records as they become obsolete or are no longer required	HR & OD Common Practice
13.9.2.	Financial Documents	Supporting information only (invoices etc. kept in Finance System)	Destroy within 1 year from the end of relevant financial year	HR & OD Custom & Practice
13.9.3.	Statistical returns to Statutory Agencies		Keep e-files/ pdf/ scans for 5 years then delete; destroy paper records upon transfer to e-recording	HR & OD (to enable FOI reporting as may be requested)
RECRUITMENT				

13.10.1.	The recruitment process for established or temporary positions	<u>Successful</u> Applicants <ul style="list-style-type: none"> • Applications • References • Interview notes/reports • Psychometric Testing Results and other tests • Right to work in the UK • Offers of appointment 	Keep on e-Personal File and destroy 6 years after the final date of employment	HR & OD Equalities Act 2010
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Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
13.10.2.	The recruitment process for established or temporary positions	<u>Unsuccessful</u> Applicants <ul style="list-style-type: none"> • All documentation • Short-listing Grid • Enquiries about vacancies • Offers of Appointment (Rejected) • Also: speculative enquiries, CV's etc. 	Destroy 6 months after recruitment process has been finalised	HR & OD Equalities Act 2010
13.10.3.	The recruitment process	Job advertisements and all other general documentation	Destroy 6 months after recruitment process has been finalised	HR & OD Custom & Practice
13.10.4.	Written particulars of employment	<ul style="list-style-type: none"> • Contract of employment • Copy qualification documents • Job description • Person specifications • Variations to terms and conditions 	Keep on e-Personal File and destroy 6 years after the final date of employment	HR & OD
13.10.5.	Employment History	Technology One	Keep on HR system and delete 6 years after the final date of employment	HR & OD

13.10.6.	Current address details, Next Of Kin	Technology One	Keep on HR system and delete 6 years after the final date of employment	HR & OD
13.10.7.	Equalities	Monitoring Form	<u>Computerised Record</u> Destroy 12 months after Annual Equality Report for relevant period was produced; destroy any paper records <u>Summary monitoring data</u> Keep for 5 years then destroy	HR & OD Custom & Practice (to enable FOI reporting as may be requested)

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
13.10.8.	Exit Interview Records	Questionnaire and/ or interview notes	If manual file, destroy immediately after being electronically recorded; keep on e-Personal File and destroy 6 years after the final date of employment Also keep e-file in central register for rolling 2 years , then delete	HR & OD Custom & Practice (to enable efficient reporting)
13.10.9.	Job Evaluation Records	<u>General</u> documents <ul style="list-style-type: none"> • Job Evaluation Scheme • Job evaluation record • National Joint Council (NJC) scheme publications 	Keep for 6 years after final use	HR & OD Equal Pay Act (1970)

13.10.10.	Job Evaluation Records	<u>Individual</u> documents □ Grading appeals Correspondence	Keep on e-Personal File and destroy 6 years after the final date of employment	HR & OD Equal Pay Act (1970)
STAFF MONITORING				
Attendance Management				
13.11.1.	Attendance Management; Policy & Procedure and Medical Clearance Documentation	<ul style="list-style-type: none">• Medical certificates• Return to work & formal absence interviews• Formal review of absence records• General Practitioner/ Occupational Health Correspondence	<u>Can be</u> destroyed 3 years after the action is completed Keep on e-Personal File and destroy 6 years after the final date of employment	HR & OD Access to Medical Reports Act 1988 Custom & Practice
13.11.2.	Attendance Monitoring	<ul style="list-style-type: none">• Annual leave• Trades Union duties• Sick leave• Jury service• Study leave	<u>Can be</u> destroyed 2 years after action completed	HR & OD Working Time Regulations (2007)

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
		<ul style="list-style-type: none">• Flexi time sheets• Leave applications• Special leave• Additional hours records	Keep on e-Personal File and destroy 6 years after the final date of employment	TULRA (Consolidation) 1992 Time off for Trade union duties Custom & Practice

13.11.3.	Flexible Working Requests	<ul style="list-style-type: none"> Application form Meeting records Correspondence Decision notice 	Keep on e-Personal File and destroy 6 years after the final date of employment	HR & OD
Maternity				
13.12.1.	Maternity & Parental Leave	Maternity leave records Paternity leave form Maternity support leave MATB1 forms Adoption matching certificate Adoption leave records	<u>Can be</u> destroyed 3 years after action completed Keep on e-Personal File and destroy 6 years after the final date of employment	HR & OD SMP & Maternity Regulations 2006 Maternity & Parental Leave Regulations 2002 Work & Families Act 2006
13.12.2.	Maternity & Parental Leave	Parental leave	<u>Can be</u> destroyed 3 years after the child has reached relevant age (age 5, or 18 if the child has a disability); for adopted children 5 th anniversary of adoption, or 18 if the child has a disability) Keep on e-Personal File and destroy 6 years after the final date of employment	HR & OD Maternity and Parental Leave Regulations (1999) (2001) (2002) Parental Leave Regulations 2013 Custom & Practice
Performance Appraisal				
13.13.1.	Annual Assessment Reports	e-Appraisals on Learning Pool	Destroy 6 years after employment ends	HR & OD

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
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13.13.2.	Performance	<ul style="list-style-type: none"> • Probationary Reviews • Improvement Plans • Capability Procedure records and documentation 	Keep on e-Personal File and destroy 6 years after the final date of employment	HR & OD Custom & Practice
13.13.3.	Career Grades Incremental progression Performance Pay Honorary Payments	Records of decisions	Keep on e-Personal File and destroy 6 years after the final date of employment	HR & OD
Other Monitoring				
13.14.1.	Financial Rewards		Destroy 7 years after action is completed	HR & OD
13.14.2.	Other retention strategy		Destroy 3 years after action is completed	HR & OD
13.14.3.	Long service awards		Keep on e-Personal File and destroy 6 years after the final date of employment	HR & OD
TERMINATION				
13.15.1.	The process of termination of staff employment	<ul style="list-style-type: none"> • Resignation • Redundancy (Section 188) • Dismissal • Death • Retirement 	Keep on e-Personal File and destroy 6 years after the final date of employment	HR & OD
TRAINING & DEVELOPMENT				

13.16.1.	Routine staff training processes (not Occupational Health and Safety or children related)	<ul style="list-style-type: none"> • Training request form • Course assessment of individual staff 	Keep on e-Personal File and destroy 6 years after the final date of employment	HR & OD Custom & Practice
Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
13.16.2.	Training (Concerning Children)		Permanent Create e-record and transfer to central file/ storage area after the end of administrative use and destroy any duplicates	HR & OD
13.16.3.	Training (Occupational Health & Safety training)	Assessments	Keep on e-Personal File and destroy 6 years after the final date of employment Keep for 3 years in central file, then delete	HR & OD Custom & Practice
13.16.4.	Training Materials		Reviewable Destroy records as they become obsolete or are no longer required	HR & OD
13.16.5.	Training (proof of completion)	<ul style="list-style-type: none"> • Certificates • Awards • Exam results 	Keep on e-Personal File and destroy 6 years after the final date of employment	HR & OD
13.16.6.	Training History for Professional Qualifications	<ul style="list-style-type: none"> • Courses attended • Results 	Keep on e-Personal File and destroy 6 years after the final date of employment	HR & OD
13.16.7.	Trade Union Training Requests		Keep for 3 years in central file, then delete	HR & OD

13.16.8.	Programmes of internal training courses, seminars, annual lists/ courses to be run		Reviewable Destroy records as they become obsolete or are no longer required	HR & OD
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14. ICT & Application Systems

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
BACK-UP FILES				
14.1.1.	Files held to permit system recovery	Physical server ~ Back-up tapes	Retain for 1 year then reuse tape	Technology Services
14.1.2.	Files held to permit system recovery	Virtual server recovery files ~ held in Veeam & on back-up tapes	Retain for 1 year	Technology Services
APPLICATION SYSTEMS				
14.2.1.	Geographical Data	Records relating to Graphical Information System Rights of way, Lowering kerbs Planning apps	Reviewable Destroy records as they become obsolete or are no longer required.	Technology Services
14.2.2.	Street Naming	Local Land & Property Gazetteer Naming of streets Numbering of houses Street furniture records	Permanent Transfer to storage area after the end of administrative use & destroy any	Technology Services
ICT Service Management				

14.3.1.	Service Desk application system	Cherwell data held in database, ICT service desk records	Reviewable Destroy records as they become obsolete or are no longer required. Destroy user records as employee leaves Council or access is no longer required.	Technology Services
14.3.2.	Asset records	Inventory of software (Snow) Inventory of hardware	Reviewable Destroy records as they	Technology Services
Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
			become obsolete or are no longer required.	
E-Forms				
14.4.1.	Workbench e-form authentication & authorisation tool.	Employee Names & Job Titles Staff expenses Travel claims	Reviewable Destroy records as employee leaves Council or access is no longer required.	Technology Services
NETWORK RECORDS				

14.5.1.	Active Directory files	Directory service records, Windows Domain Access User details	Reviewable Destroy records as employee leaves Council or access is no longer required.	Technology Services
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15. Information Governance

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
INFORMATION MANAGMENT				
Access to Information				
15.1.1.	Access to Information Requests	FOI/EIR Case file records Requestor Details Disclosure log Appeals log All FOI/EIR requests including reviews, ICO	Destroy 3 years from last action date	Legal
15.1.2.	Access to Information Requests	Details of request & response Statistical data about the number of requests received and outcomes	Destroy 10 years after data created	Legal

15.1.3.	Access to Information Requests	Subject Access Requests (process around the request)	Destroy 3 years from last action date	Legal DPA 1998
15.1.4.	Access to Information Requests	Subject Access Requests (Requests linked to staff grievance or disciplinary)	Destroy 3 years from last action date	Legal Limitations Act 1980
15.1.5.	Documentation relating to the disclosure status of records under Access to Information	Publication scheme	Permanent – offer to archivist	TNA Retention and Disposal Guidance 14
15.1.6.	Guides, manuals and instructions on the management of records	Procedures for handling FOI/EIR/DP requests	Destroy 5 years after procedures have been superseded	TNA Retention and Disposal Guidance 14
Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
CCTV				
15.2.1.	CCTV Recorded Material	Digital or Analogue Recordings Held by car parks, the depot & other Council sites.	Keep for 30 days then tapes will be reused or recorded material deleted.	Community Safety (Community & Culture). Joint HDC, Sussex Police & Horsham Community Safety Partnership Code of Practice for Public Space CCTV.

Records Management		
15.3.1.	The management and collection of records transferred to the archives	All records relating to documents transferred to the archive (Managed by Iron Mountain) are retained on a system that is run by Iron Mountain, which is reviewed and updated by each department.
15.3.2.	The process that records the disposal of records	
15.3.3.	The process that records the disposal of records	
15.3.4.	Information surveys, records audits & registry inspections	
15.3.5.	Records relating to the use of off-site storage	

16. Internal Audit

INTERNAL AUDIT	
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16.1.1.	Audit files & working papers for general assignments (including interim reports).	Routine Financial System Computer Contracts Audit VFM Audits	Keep for 3 years plus current Financial year then destroy	Orbis Internal Audit
16.1.2.	Audit Reports	Copy of audit report issued to client,	Reviewable Destroy records as they become obsolete or are no longer required	Orbis Internal Audit
16.1.3.	Copies of minutes, agendas relating to special audit interest groups	Minutes from Sussex Audit Group	Keep for 3 years then destroy	Orbis Internal Audit
16.1.4.	Copies of internal meeting meetings records	Team briefing & Section Meeting records	Keep for 3 years plus current Financial year then destroy	Orbis Internal Audit
16.1.5.	Guidance & instructions	Internal Audit Guides Manuals & guides relating to departmental procedures Local auditing standards	Reviewable Destroy records as they become obsolete or are no longer required	Orbis Internal Audit
16.1.6.	General Correspondence	Email messages received\sent	Keep for 3 years then destroy	Orbis Internal Audit

17. Legal & Contracts

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
LEGAL				
Advice				
17.1.1.	The process of providing general legal advice on a point of law	All including Precedent cases Contract advice Property advice	Destroy 7 years after last action NB: If precedent is set, then keep until the record is no longer relevant or offer to Archivist	Common Practice
Legal Communications				
17.2.1.	Internal & External Communications	E-mails, letters or other forms of correspondence.	Destroy 7 years after last action NB: If precedent is set, then keep until the record is no longer relevant or offer to Archivist	
Agreements				

17.3.1.	Way Leave Agreements		Permanent Transfer to storage area after the end of administrative use destroying any duplicates and retaining documents until the property is sold	
17.3.2.	Sub/under leases		Destroy 12 years after	

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
			termination of the agreement	
17.3.3.	Landlord's Consent		Destroy 12 years after surrender, expiry or termination of lease	
17.3.4.	Leases – Signed Copies		Destroy 12 years after expiry	
17.3.5.	Property Purchase Agreements	Option agreement	Destroy 6 years after expiry of the period of option	
17.3.6.	Process of agreeing terms between organisations NB: This does not include contractual agreements	Condordat Memorandum of terms	Destroy 6 years after agreement expires or it is terminated	
Conveyancing				
17.4.1.	The process of changing ownership of land or property	Purchase files	Permanent Transfer to storage area after the end of administrative use and destroy any duplicates	
17.4.2.	'Not proceeding' files on all conveyancing & contract matters		Destroy 7 years from the date of closure of the file	

17.4.3.	Compulsory Purchase Orders		Reviewable Destroy records as they become obsolete or are no longer required	
17.4.4.	The process of changing ownership of land or property	Sale of whole title	Destroy 12 years from the date of closure of the file	

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
17.4.5.	The process of changing ownership of land or property	Sale of part title (except Right to Buy)	Permanent Transfer to storage area after the end of administrative use and destroy any duplicates	
17.4.6.	The process of changing ownership of land or property	Title deeds & other records relating to freehold property – not public records	Permanent Transfer to storage area after the end of administrative use & destroy any duplicates	
17.4.7.	Records on property deeds where the property is housing owned by the Council	Paper records in Fire Safes Communication	Retain from date ownership commenced until property is sold.	Property
Litigation				
17.5.1.	All Litigation		Destroy 7 years from the date of closure of the file	

17.5.2.	Land Tribunal Cases		Destroy 12 years from settlement or claim	
17.5.3.	The process of managing, undertaking or defending for or against litigation on the Council's behalf	Major litigation: Criminal/Civil case files Correspondence	Permanent Transfer to storage area after the end of administrative use and destroy any duplicates	
17.5.4.	The process of managing, undertaking or defending for or against litigation on the Council's behalf	Minor litigation: Bye-law infringements Correspondence	Destroy 7 years after the last action	
RIPA Authorisations				

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
17.6.1.	The process of authorisation surveillance under The Regulation of Investigatory Powers Act 2000 (RIPA)	Record of authorisations	Destroy 3 years from the ending of the authorisation	The Regulation of Investigatory Powers Act 2000 (RIPA)
17.6.2.	The process of authorisation surveillance under The Regulation of Investigatory Powers Act 2000 (RIPA)	Material obtained & associated with a RIPA application	Keep until a decision is made whether to prosecute or not. If accused is convicted material retained under person released from custody or 6 months from date of conviction	Criminal Procedures Investigations Act 1996 (CPIA)

BYE-LAWS				
Administration & Enforcement				
17.7.1.	The process of administering and enforcing bye-laws	Applications & certificates Permits Licenses Infringement notices – parking Correspondence	Destroy 2 years after: Certificate has expired Penalty payment has been made Or the matter has been finished or correspondence on the matter has ceased	RGLA. 9.23
Enactment				
17.8.1.	The process of making localised laws	Master set of bye-laws: Policy development documents Correspondence Submissions	Permanent Offer to Archivist and destroy any duplicates	RGLA 9.22
CONTRACTS				
Quotations				

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
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17.9.1.	Quotations (successful Quote)	All documentation relating to successful quotation submitted.	Retain for 1 year following the end of the contract period, or in the case of works contracts 3 years after completion	Limitations Act 1980
17.9.2.	Quotations (Unsuccessful Quote)	All documentation relating to quotations submitted for suppliers that were unsuccessful.	Retain for 1 year following the award of the contract	Limitations Act 1980
Tender Documents (Unsuccessful)				
17.10.1.	Documents relating to an <u>Unsuccessful</u> tender.	Proposal documents, Specification, Costs	Retain for 1 year following the award of the contract	Corporate Procurement Code
Successful Tenders and Contract Management				
17.11.1.	Contracts Signed (under £100k) Management and Amendment of Contract	<u>Contracts under hand</u> All Tender documents Proposal documents, Specification, Costs Contract documents & any contract amendments Minutes & papers of meetings Changes to requirements Variation forms Default notices Extension of contract Complaints Disputes on payments Purchase orders/invoices	Destroy 6 years after the terms of contract have expired	Limitations Act 1980

17.11.2.	Contracts Under Seal (over £100k)	All Tender documents, Contract documents & any contract amendments where contract is under seal.	Destroy 12 years after the terms of the contract have expired	Limitations Act 1980
Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
		Minutes & papers of meetings Changes to requirements Variation forms Default notices Extension of contract Complaints Disputes on payments Purchase orders/invoices		

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18. Management & Administration

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
CORPORATE PLANNING & REPORTING				
18.1.1.	Corporate strategies planning & reporting activities	Corporate plans Strategic plans Business plans Strategies Quarterly & annual reports Departmental plans	Permanent Public documents published on the Website & managed through Democratic Services modern.gov.co.uk	Performance Team

GRANTS & FUNDRAISING OPPORTUNITIES				
18.2.1.	European Grants European Social Fund European Regional Development Fund	Visitor Economy Strategy. Formal applications Offer letters Interim & final claims Audit Reports	Destroy 5 years after release of the final payment.	Economic Development
Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
18.2.2.	Records on grant funding	Local Enterprise & Apprenticeship Platform (LEAP) Full records	Keep for 2 years plus current year then destroy	Economic Development
18.2.3.	Records on grant funding	Local Enterprise & Apprenticeship Platform (LEAP) Records of Recipients & the value	Keep for 6 years plus current year then destroy	Economic Development
POLICIES, PROCEDURES, STRATEGY & STRUCTURE				
18.3.1.	The process of monitoring & reviewing strategic plan, policies or procedures to assess their compliance with guidelines	Quarterly & annual performance reports Service & Financial Planning	Destroy 10 years from closure	Performance Team
PROGRAMME & PROJECT MANAGEMENT				

18.4.1.	Project management where there is a small (or no) budget involved	Quotation Work Request Associated docs – programme and risk documentation	Retain from last action on project for 12 years	“All Depts. Limitation Act 1980 (Sect. 2)
18.4.2.	Management of projects which end with a contract under seal	Tender Associated docs – programme and risk documentation	Retain from last action on project for 12 years.	“All Depts. Limitation Act 1980 (Sect. 2)
18.4.3.	Management of projects which end with a contract under signature	Tender Associated docs – programme and risk documentation	Retain from last action on project for 12 years	“All Depts. Limitation Act 1980 (Sect. 2)
COMMUNICATIONS				
Public Relations				
18.5.1.	Council communication and marketing campaigns & events	Communication plans Stakeholder Contact Details	Keep for 10 years then destroy.	Communications

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
		Community initiatives Awareness campaigns Promotional events		

18.5.2.	Photographic Records	Digital photographs (Identifiable people)	Keep for 5 years then destroy or less where children reach the age where they are required to provide their own consent).	Communications
18.5.3.	Photographic Records	Digital photographs (Not including people)	Permanent forward photos with historic interest transferred to museum.	Communications
18.5.4.	Communications with customers	E-mail Letters Social Media	Keep for 1 years then destroy.	Communications
Media Relations				
18.6.1.	Interaction with the Media	Media enquiries. News Releases.	Permanent Data stored by external provider (A1 media).	Communications
18.6.2.	Digital Communications	Social Media posts Website content	Reviewable Destroy records as they become obsolete or are no longer required	Communications
18.6.3.	Publication/news concerning the Council	Media reports Press cuttings Ceremonial literature Dedications Official openings	Keep for 10 years then destroy anything with historic interest transferred to museum.	Communications
QUALITY & PERFORMANCE MANAGEMENT				

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
18.7.1.	Monitoring or reviewing the quality, efficiency, or performance of the Council or an individual unit.	Corporate reporting to SLT & Member Groups	Destroy 10 years after the last action is taken, tracking changes over a period of time.	
STATUTORY RETURNS				
18.8.1.	The process of preparing information to be passed to central government as part of statutory requirements	Report to central government Housing subsidy claims HRA	Destroy 7 years from closure	All departments with responsibility to report (Environmental Health, Strategic Planning etc).
FRAUD & CORPORATE INVESTIGATIONS				
18.9.1.	Audit Reports & paperwork relating to fraud or other special investigations	Report of findings & actions taken, Interview notes & evidence obtained.	Reviewable Destroy records as they become obsolete or are no longer required	Orbis Internal Audit
18.9.2.	Money Laundering Investigations ~ Proven	Report & investigation records relating to proven Money Laundering Incident	Reviewable Destroy records as they become obsolete or are no longer required	
18.9.3.	Money Laundering Investigations ~ Un Proven	Report & investigation records relating to suspected Money Laundering, unproven.	Reviewable Destroy records as they become obsolete or are no longer required	

19. Planning

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
DEVELOPMENT				
19.1.1.	Planning Applications Documents	<ul style="list-style-type: none"> • Planning Application Forms • Ownership certificates • Application determined plans & drawings. (approved/ refused/submitted to discharge conditions) • Supporting information accompanying the application • Details pursuant to the discharge of planning conditions. • Neighbour representations • External/Internal consultee responses. • The case officer's report. 	Permanent Transfer to storage area after the end of administrative use & destroy any duplicates	Development.
19.1.2.	Documents relating to planning decisions	<ul style="list-style-type: none"> • Letter confirming Discharge of condition/s • Applications taken to appeal, Decision Notices) • Planning application Decision Notices • Section 106 Agreement or other legal agreements related to decision. • Post application enquiries relating to the development. 	Permanent Transfer to storage area after the end of administrative use & destroy any duplicates	Development.

19.1.3.	Enforcement Files	<ul style="list-style-type: none"> Records of any conclusion to an enforcement investigation (Officers report/final letter to complainant & property owner/occupier). All enforcement related notices 	Permanent Transfer to storage area after the end of administrative use & destroy any duplicates	Development.
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Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
		<ul style="list-style-type: none"> Appeal decision letters & supporting appeal statements Witness statements supporting formal legal proceeding, e.g. prosecutions injunctions etc. Relevant photographs Other evidence Initial record of alleged breach of planning control Correspondence. 		
19.1.4.	Pre-Application Enquiries	<ul style="list-style-type: none"> Documents relating to preapplication enquiries & documents superseded by application submission. 	Destroy 15 years after the last action is taken	Development.
19.1.5.	General Correspondence	<ul style="list-style-type: none"> General enquiries & correspondence. 	Destroy 6 years after the last action is taken	Development.
Other Services				

19.2.1.	Street naming and numbering	Requests for new street names and addresses	Permanent Transfer to storage area after the end of administrative use and destroy any duplicates	Property
LOCAL LAND CHARGES				
19.3.1.	The process of providing comprehensive searches on land property for prospective purchasers within the District	Register of Local Land Charges Records Maps	Reviewable Destroy records as they become obsolete or are no longer required	
19.3.2.	Local Searches	Records of Receipt Plans	Keep for 3 years then destroy	
Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
		Correspondence Application form Completed search report Record of completion		
19.3.3.	Land Registry	Requests for information	Keep for 5 years then destroy	

20. Revenues & Benefits

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
REVENUES & BENEFITS				
20.1.1	Core Data	Individuals whose records are held within the Revenues and Benefits system	Reviewable Destroy records as they become obsolete or are no longer required.	Revenues & Benefits
Council Tax				
20.2.1.	Records relating to the assessment, billing and collection of Council Tax	Electronic records of customer correspondence held on Northgate Enterprise and account details held on Capita Academy	For closed accounts keep for 6 years plus current financial year from the date of closure then destroy – unless in active recovery.	Revenues & Benefits
20.2.2.	Discount & Exemption Applications	Electronic records of customer correspondence held on Northgate Enterprise and account details held on Capita Academy	For closed accounts keep for 6 years plus current financial year from the date of closure then destroy – unless in active recovery.	Revenues & Benefits
20.2.3.	Council Tax appeals	Electronic records of customer correspondence held on Northgate Enterprise and account details held on Capita Academy	For closed accounts keep for 6 years plus current financial year from the date of closure then destroy – unless in active recovery.	Revenues & Benefits

Business Rates				
20.3.1.	Records relating to the assessment, billing and collection of Business Rates	Electronic records of customer correspondence held on Northgate Enterprise and account details held on Capita Academy	For closed accounts keep for 6 years plus current financial year from the date of closure then destroy – unless in active recovery.	Revenues & Benefits
20.3.2.	Discount & Exemption Applications	Electronic records of customer correspondence held on Northgate Enterprise and account details held on Capita Academy	For closed accounts keep for 6 years plus current financial year from the date of closure then destroy – unless in active recovery.	Revenues & Benefits
20.3.3.	Business Rates appeals	Electronic records of customer correspondence held on Northgate Enterprise and account details held on Capita Academy	For closed accounts keep for 6 years plus current financial year from the date of closure then destroy – unless in active recovery.	Revenues & Benefits
Housing Benefit, Council Tax Reduction & DHPs				
20.4.1.	Records relating to the assessment and notification of new Housing Benefit, Council Tax Reduction and DHP awards.	Electronic records of customer correspondence held on Northgate Enterprise and account details held on Capita Academy	For closed accounts keep for 6 years plus current financial year from the date of closure then destroy.	Revenues & Benefits
20.4.2.	Records relating to the assessment and notification of changes to existing Housing Benefit, Council Tax Reduction and DHP awards.	Electronic records of customer correspondence held on Northgate Enterprise and account details held on Capita Academy	For closed accounts keep for 6 years plus current financial year from the date of closure then destroy.	Revenues & Benefits
20.4.3.	Housing Benefit appeals	Electronic records of customer correspondence held on Northgate Enterprise and account details held on Capita Academy.	For closed accounts keep for 6 years plus current financial year from the date of closure then destroy.	Revenues & Benefits

Recovery				
20.5.1.	Records relating to the recovery of overpaid Housing Benefit	Electronic records of customer correspondence held on Northgate Enterprise and account details held on Capita Academy	For closed accounts keep for 6 years plus current financial year from the date of closure or the last active date of recovery, whichever is the later – then destroy.	Revenues & Benefits
20.5.2.	Records relating to the recovery of Council Tax	Electronic records of customer correspondence held on Northgate Enterprise and account details held on Capita Academy	For closed accounts keep for 6 years plus current financial year from the date of closure or the last active date of recovery, whichever is the later – then destroy.	Revenues & Benefits
20.5.3.	Records relating to the recovery of Business Rates	Electronic records of customer correspondence held on Northgate Enterprise and account details held on Capita Academy.	For closed accounts keep for 6 years plus current financial year from the date of closure or the last active date of recovery, whichever is the later – then destroy.	Revenues & Benefits

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21. Strategic Development

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
CONSULTATIONS				
21.1.1.	The process of consulting the public, stakeholders and staff in the development of statutory planning policies such as Local Plans, Site Allocation Documents or Joint Area Action Plans.	Emails, online forms, letters, questionnaires and consultation documentation from the public, staff and external organisations such as WSCC.	Permanent Offer to archivist for review after 3 years	Strategic Development Local Government Access to Information Act 1985 Public Task Condition Article 6.1e Town and Country Planning (Local Planning)(England) Regulations 2012; Planning and Compulsory Purchase Act 2004)
21.1.2.	The process of consulting the public, stakeholders and staff in the development of planning guidance, such as Supplementary Planning documents	Emails, online forms, letters, questionnaires and evidence base documentation from the public, staff and external organisations such as WSCC.	Destroy 5 years from closure	
21.1.3.	General Consultations – e.g. surveys connected to evidence base	Emails, online forms, letters, evidence base documentation from the public, staff and external organisations such as WSCC.	Destroy 5 years from closure	
21.1.4.	Consultations	Consultation Report Public Enquiry Documents	Keep for 10 Years then destroy	
PROGRAMME MANAGEMENT & DEVELOPMENT				
21.2.1.	Project Files	PIDS, Business Case, VERTO Files, Invitations to tender/Briefs for Consultants	Keep for 25 years then destroy	Strategic Development Local Government Access to Information Act 1985 Public Task Condition Article 6.1e

21.2.2.	Meetings & Minutes of Project Boards	Word documents	Destroy 3 years after the last action is taken	
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Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
21.2.3.	Promotion of forthcoming projects	Literature Photographs	Permanent Transfer to storage area after the end of administrative use & destroy any duplicates	Town and Country Planning (Local Planning)(England) Regulations 2012; Planning and Compulsory Purchase Act 2004)
STRATEGIC PLANNING DIRECTION				
21.3.1.	Planning documentation	Local plan/local development framework documents Neighbourhood Plans, Supplementary planning documents, supporting development plan and SPD documentation such as SA's, SEA's, Consultation documents Representations on policy consultation documents Examination documentation and Inspectors Report. Hard copy proposal maps	Permanent Offer to archivist. Transfer to place of deposit after administrative use is concluded.	Strategic Development Local Government Access to Information Act 1985 Public Task Condition Article 6.1e Town and Country Planning (Local Planning)(England) Regulations 2012; Planning and Compulsory Purchase Act 2004)
21.3.2.	Evidence base documents informing preparation of local plan documents and guidance– eg transport studies	Evidence base document Land use surveys	Reviewable Destroy records as they become obsolete or are no longer required	

21.3.3.	The activity of establishing planning policy maps for them to be amended and modified	Amendments to policies maps – digital	Digital - Reviewable- policy maps may be updated during life of plan to take account of revisions to environmental constraints – such as floodplains. PDF – Permanent Offer to archivist.	
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Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
			Transfer to place of deposit after administrative use is concluded	
21.3.4.	The process of receiving, considering and responding to planning applications, government policy documents, other council plans and policies	Planning application responses, Consultation responses	Destroy 7 years after decision is made / adoption of plan or policy	
21.3.5.	General Planning Policy Files	Old project files Conservation information files Ecology files Archaeology files Artwork – conservation buildings	Reviewable Destroy records as they become obsolete or are no longer required	Strategic Development Local Government Access to Information Act 1985 Public Task Condition Article 6.1e
21.3.6.	Files on confirmed compulsory purchase orders		Permanent Offer to archivist. Transfer to place of deposit after administrative use is concluded	Town and Country Planning (Local Planning)(England) Regulations 2012; Planning and Compulsory Purchase Act 2004)
PLANING SCHEME DEVELOPMENT & AMENDMENT				

21.4.1.	The process of receiving, considering & responding to submissions & objections to planning applications & amendments	Waste planning application consultation Mineral planning application consultation. Site Allocation Documents	Destroy 10 years after decision is made	Strategic Development
21.4.2.	The activity of establishing planning scheme controls & providing them to be amended	Successful mineral planning & waste planning applications Amendments to definitive map Mineral register Mineral extraction Land use surveys.	Permanent Offer to archivist. Transfer to place of deposit after administrative use is concluded & destroy & duplicates	Strategic Development Common Practice

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
21.4.3.	The process of receiving, considering & responding to submissions & objections to planning schemes & amendments	Waste planning application consultation. Mineral planning applications consultation Objections Inquiries – public etc. Archaeological advice/conditions Site Allocation Documents	Destroy 10 years after decision. Offer controversial/high profile schemes to archivist.	Strategic Development Common Practice
Landscape				

21.5.1.	The process of maintaining the countryside and developing open spaces for public amenity	Country parks and nature reserves development plans and correspondence Planning guidance/Management Plans on Areas of Outstanding Natural Beauty Land purchase agreements	Permanent Offer to archivist. Transfer to place of deposit after administrative use is concluded.	Local Government Access to Information Act 1985 Public Task Condition Article 6.1e Town and Country Planning (Local Planning)(England) Regulations 2012; Planning and Compulsory Purchase Act 2004)
Conservation				
21.6.1.	The activity of recording information on historical building, monuments & ecology at a specific site	Ecological/species records Historically listed buildings Listed building applications Sites and monuments register Conservation Area Appraisals and Management Plans	Permanent Offer to archivist. Transfer to place of deposit after administrative use is concluded and destroy duplicates	
Planning Policy				
21.7.1.	The activity of developing a vision & strategic directions regarding existing & future land use within the authority & development of local or town centre plans to ensure the implementation of the Structure Plan	Structure Plan Local Plan Town Centre plans Unitary Development plans	Permanent Offer to archivist when plan is superseded	Common Practice

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
Trees				

21.8.1.	The activity of recording information on trees at specific sites	Emails	Delete personal information re: tree correspondence from individuals' email folders Keep email correspondence on specific sites for up to 6 months.	Tree Department Town & Country Planning (Tree Preservation) (England) Regulations (2012) – for everything to do with protected trees; Part 8 of the Anti-social Behaviour Act (2003) – for High Hedge complaints.
21.8.2.	The activity of recording information on trees at specific sites	Spreadsheet containing details of phone calls made by members of the public in relation to tree enquiries	Delete all spreadsheet records on phone calls after 12 months.	
21.8.3.	The activity of recording information on trees at specific sites.	Letters containing details on tree correspondence	Index all old information to Info@work	
21.8.4.	All records relating to the creation, implementation and monitoring of tree preservation orders	Details of Tree Preservation Orders / conservation area tree works/ TPO works applications	Index all old information from the public file to Info@work. Retain from date of preservation order until tree no longer exists.	
PLANING SCHEME REGULATION				
21.9.1.	The process of approving building applications in relation to listed or other significant buildings	Building files Plans Specifications Correspondence Applications Permits Certificates Objections	Permanent Offer to archivist. Transfer to place of deposit after administrative use is concluded & destroy any duplicates	Common Practice
Neighbourhood Plans				

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
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21.10.1.	Application for neighbourhood planning area designation to local authority (Regulations 5, 5A) or neighbourhood planning forum (Regulations 8)	Application with attachments.	Permanent	Strategic Planning The Neighbourhood Planning (General) Regulations 2012 The Neighbourhood Planning (General) (Amendment) Regulations 2015 The Neighbourhood Planning (General) and Development Management Procedure (Amendment) Regulations 2016 The Neighbourhood Planning (General) and Development Management Procedure (Amendment) Regulations 2017
21.10.2.	The process of submitting and publicising a Plan. (Regulations,15,16)	Submission Plan SA/SEA Consultation and other statements Consultation correspondence. Consultation documents and replies Inquiries and objections made by members of the public Summary of representations	Retain for life of adopted plan	Parish Neighbourhood Planning Group (external to HDC)
21.10.3.	Process of voluntary withdrawal of Neighbourhood Plan or Forum (Regulation 12).	Withdrawal statement	Permanent	
21.10.4.	The process of publishing examining and adopting a plan.(Regulations18,19,20)	Examiners notes and questions Responses to Examiners questions Decision notices Adoption Statement SEA Post adoption statement SA/SEA The Adopted Plan	Permanent Offer to archivist. Transfer to place of deposit after administrative use is concluded.	

Ref No:	Function/ Function Description	Type of Record	Retention Action	Dept. Responsible Legislation/ Regulation
21.10.5.	The process of modifying a Plan (Regulation 30)	Modification statement The Modified Plan	Permanent Offer to archivist. Transfer to place of deposit after administrative use is concluded	
21.10.6.	Evidence base documents informing preparation of local plan documents and guidance– eg transport studies / site assessments	Evidence base document Land use surveys	Reviewable Destroy records as they become obsolete or are no longer required	
Submissions				
21.10.7.	The process of receiving submission of sites for consideration in the SHELAA	Submission forms Correspondence Maps SHELAA database	Reviewable Destroy records as they become obsolete or are no longer required	National Planning Policy Framework 2012 para 159.
21.10.8.	The process of receiving submission of sites for consideration in the Brownfield Land Register	Submission forms Correspondence Maps	Reviewable Destroy records as they become obsolete or are no longer required	The Town and Country Planning (Brownfield Land Register) Regulations 2017
21.10.9.	The process of receiving submissions to be included in the Self and Custom House building register	Submission forms Correspondence	Remove on request, otherwise retain from creation of records for 6 years .	Self-build and Custom Housebuilding Act 2015 (as amended by the Housing and Planning Act 2016)
21.10.10.	FOI / EIR requests	Emails, letters, responses.	Keep for 10 years then destroy	Freedom of Information Act 2000 and Environmental Information Regulations 2004

