

# HIGH PEAK BOROUGH COUNCIL

## DOCUMENT RETENTION SCHEDULES

<b>Record</b>	<b>Recommended Retention Period</b>	<b>Examples of Records</b>	<b>Notes</b>
<b>Democratic Process</b>			
<b>Election</b>			
Preparation – summary certification of those eligible to vote	<b>Permanent</b>	Electoral Register	Common practice
Voting – local elections only	<b>Destroy 6 months from close of poll</b>	Ballot papers	<b>Statutory</b>
Results – declaration of results	<b>Destroy 6 months from date of election</b>	Consolidated returns of votes received	<b>Statutory</b>
<b>Council and committee meetings</b>			
The formal process of preparing business for Council consideration and making the record of discussion, debate and resolutions	<b>Permanent</b>	<ul style="list-style-type: none"> <li>• Council minutes</li> <li>• Council agenda and business papers</li> <li>• Council notice papers and proceedings</li> <li>• Indexes</li> <li>• Committee minutes</li> <li>• Register of Acceptance of Office</li> </ul>	<b>Common practice</b>
Minute taking	<b>Destroy after date of confirmation of the minutes</b>	<ul style="list-style-type: none"> <li>• Draft/rough minutes</li> <li>• Audio tapes</li> </ul>	<b>Common practice</b>
<b>Partnership, Agency and External Meetings</b>			
The process of preparing business for partnership and agencies consideration and making the record of discussion,	<b>Permanent</b>	<ul style="list-style-type: none"> <li>• Documents establishing the committee</li> <li>• Agendas</li> <li>• Minutes</li> <li>• Council reports</li> </ul>	<b>Common practice</b>

<b>Record</b>	<b>Recommended Retention Period</b>	<b>Examples of Records</b>	<b>Notes</b>
debate and resolutions, where we legally <b>own</b> the record		<ul style="list-style-type: none"> <li>• Recommendations</li> <li>• Supporting documents such as Council briefing papers</li> </ul>	
The process of preparing business for external committees' considerations, and making the record of discussion, debate and resolutions where we <b>do not own</b> the record	Destroy 3 years after last action	<ul style="list-style-type: none"> <li>• Reports</li> <li>• Recommendations</li> <li>• Supporting documents such as briefing papers and discussion papers</li> </ul>	<b>Common practice</b>
<b>Honours and submissions</b>			
The process of preparing of honours submissions	<b>Destroy 5 years after last action</b>	<ul style="list-style-type: none"> <li>• Honours nomination forms</li> <li>• Covering documentation</li> <li>• Letters of support</li> <li>• Referral for comment from lord lieutenant</li> </ul>	<b>Common practice</b>
<b>Political Parties Papers</b>			
The process of undertaking representation of the local authority	<b>Destroy 3 years after last action</b>	<ul style="list-style-type: none"> <li>• Leader of opposition papers</li> <li>• Leader of council papers</li> </ul>	<b>Common practice</b>
<b>Management and Administration</b>			
<b>Corporate Planning and Reporting</b>			
Corporate planning and reporting activities	<b>Permanent</b>	<ul style="list-style-type: none"> <li>• Corporate plans</li> <li>• Strategy plans</li> <li>• Business plans</li> <li>• Annual reports</li> <li>• Best Value Performance Plans</li> <li>• Community Strategies</li> </ul>	Common practice

<b>Record</b>	<b>Recommended Retention Period</b>	<b>Examples of Records</b>	<b>Notes</b>
The process of preparing business for strategic consideration and making the record of discussion, debate and resolutions	Destroy after 2 years		
The process of preparing business for cross departmental consideration and making the record of discussion, debate and resolutions	<b>Destroy 3 years from closure</b>		<b>Common practice</b>
The process of preparing business for unit or team consideration and making the record of discussion, debate and resolutions	<b>Destroy 3 years from closure</b>	<ul style="list-style-type: none"> <li>• Departmental team meeting minutes</li> </ul>	<b>Common practice</b>
<b>Statutory Returns</b>			
The process of preparing information to be passed on to central government as part of statutory requirement	Destroy 7 years from closure (unless statutory requirement state otherwise)	<ul style="list-style-type: none"> <li>• Reports to central government</li> </ul>	<b>Common practice</b>
<b>Policy, Procedures, Strategy and Structure</b>			

<b>Record</b>	<b>Recommended Retention Period</b>	<b>Examples of Records</b>	<b>Notes</b>
Records that help develop policies, procedures, strategies and structures	12 years	<ul style="list-style-type: none"> <li>• Policies, procedure, precedent, instructions</li> <li>• Organisational charts</li> <li>• Records relating to policy implementation and development</li> <li>• Asset management plan</li> </ul>	<b>Common practice</b>

<b>Record</b>	<b>Recommended Retention Period</b>	<b>Examples of Records</b>	<b>Notes</b>
<b>Public Consultation</b>			
The process of consulting the public and staff in the development of significant policies	<b>Destroy 5 years from closure</b>	<ul style="list-style-type: none"> <li>• Community Strategy Consultation</li> <li>• Corporate Plan Consultation</li> <li>• Citizens Panel</li> <li>• Community Strategy Consultation</li> </ul>	<b>Common practice</b>
The process of consulting with the public and staff in the development of minor policies	<b>Destroy 1 year from closure</b>	<ul style="list-style-type: none"> <li>• Staff Surveys</li> </ul>	<b>Common practice</b>
The process of consulting with the public and staff in the development of budgets	<b>Destroy 3 years from closure</b>	<ul style="list-style-type: none"> <li>• Budget consultation papers</li> </ul>	<b>Common practice</b>
<b>Information Management</b>			
The activity whereby standards, authorities, restraints and verification are introduced and maintained to manage information effectively	<b>Permanent</b>	<ul style="list-style-type: none"> <li>• Classifications schemes</li> <li>• Registers</li> <li>• Indexes</li> <li>• Authorised list of file headings</li> </ul>	<b>Common practice</b>
The management of collections of historical records	<b>Permanent</b>	<ul style="list-style-type: none"> <li>• Minute books</li> </ul>	<b>Common practice</b>
The process that records the disposal of records	<b>Destroy 12 years after last action</b>	<ul style="list-style-type: none"> <li>• Disposal certificates</li> <li>• Schedule of disposals</li> </ul>	<b>Common practice based on the Limitation Act</b>
<b>Enquiries and Complaints</b>			
Policy Statement	<b>When Superseded</b>		
System handbook/guide	<b>When superseded</b>		
The management in the	<b>10 years</b>	<ul style="list-style-type: none"> <li>• Indexes</li> </ul>	<b>Common practice</b>

<b>Record</b>	<b>Recommended Retention Period</b>	<b>Examples of Records</b>	<b>Notes</b>
summary form of enquiries and complaints directed to the council		<ul style="list-style-type: none"> <li>• registers</li> </ul>	
The management of enquiries, submissions and complaints which result in significant changes in Policy or procedures	<b>6 years</b>	<ul style="list-style-type: none"> <li>• Reports</li> <li>• investigations</li> <li>• Returns</li> <li>• Correspondence</li> </ul>	<b>Common practice</b>
The management of detailed responses on council actions, policy or procedures	<b>Destroy 6 years after administrative use is concluded</b>	<ul style="list-style-type: none"> <li>• Reports</li> <li>• Returns</li> <li>• Correspondence</li> <li>• Ombudsman</li> </ul>	<b>Common practice</b>
The management of routine responses on council actions, policy or procedures	<b>Destroy 3 years after administrative use is concluded</b>	<ul style="list-style-type: none"> <li>• Printed material</li> <li>• Form letters</li> </ul>	<b>Common practice</b>
<b>Quality and performance management</b>			
The process of monitoring or reviewing the quality, efficiency, or performance of our council	<b>Destroy 6 years from closure</b>	<ul style="list-style-type: none"> <li>• Best value review</li> </ul>	<b>Common practice</b>
The process of assessing the quality, efficiency, or performance of the council or an individual unit	<b>Destroy 3 years from closure</b>	<ul style="list-style-type: none"> <li>• Assessment form</li> </ul>	<b>Common practice</b>
<b>Public relations</b>			
<b>Publications</b>			
The process of design setting information for publication	<b>Destroy 3 years from last action</b>		<b>Common practice</b>
The published work of the authority	<b>One copy sent to archive</b>		<b>Common practice</b>

<b>Record</b>	<b>Recommended Retention Period</b>	<b>Examples of Records</b>	<b>Notes</b>
<b>Media relations</b>			
Process of interaction with the media	<b>Destroy 3 years from closure</b>		<b>Common practice</b>
Media publications concerning our council	<b>3 years</b>	<ul style="list-style-type: none"> <li>• Press cuttings</li> <li>• Media reports</li> </ul>	<b>Common practice</b>
<b>Marketing</b>			
The process of developing and promotion of our campaigns and events	<b>12 years</b>		<b>Common practice</b>
<b>Civic and Royal events</b>			
The recording of ceremonial events and civic occasions	<b>Permanent</b>	<ul style="list-style-type: none"> <li>• Visitors books</li> <li>• Audio tapes</li> <li>• Video tapes</li> <li>• Photographs</li> </ul>	<b>Common practice</b>
The process of organising a ceremonial event or civic occasion	<b>Destroy 3 years after administrative use is concluded</b>		<b>Common practice</b>
<b>Legal and Contracts</b>			
<b>Planning</b>			
All records relevant to planning enforcement/litigation	<b>Permanent</b>		
<b>Planning Inquiries</b>			
Planning Inspectorate decision notices	<b>Permanent</b>		
Papers and records relating to the appeal	<b>3 years</b>		
<b>Anti Social Behaviour</b>			
Acceptable Behaviour	<b>Up to the age of 21 or</b>		

<b>Record</b>	<b>Recommended Retention Period</b>	<b>Examples of Records</b>	<b>Notes</b>
Contracts and Anti Social Behaviour Orders	<b>10 years after event</b>		
Racial Harrassment Files	<b>6 years</b>		
<b>Litigation</b>			
The process of managing, undertaking or defending for or against litigation on our behalf	<b>20 years after action concluded provided no continuing impact</b>	Criminal case files <ul style="list-style-type: none"> <li>• Civil case files</li> </ul>	<b>Common practice</b>
<b>Advice</b>			
The process of providing legal advice on a point of law	<b>Destroy 3 years after last action</b>		<b>Common practice</b>
<b>Agreements</b>			
Process of agreeing terms between organisations – this does <b>not</b> include contractual agreements	<b>Destroy 6 years after agreement expires or is terminated</b>		<b>Common practice Depends on value of agreement, mainly to do with agreements between public bodies, not in regard to contracts</b>
<b>Conveyance</b>			
The process of changing ownership of land or property	<b>Destroy 12 years after closure</b>		<b>Statutory</b>
<b>Contracts and Tendering</b>			
<b>Pre Contract Advice</b>			
The process of calling for expressions of interest	<b>Destroy 6 years after the end of the financial year to which they relate</b>	Expressions of Interest	<b>Common practice</b>

<b>Record</b>	<b>Recommended Retention Period</b>	<b>Examples of Records</b>	<b>Notes</b>
<b>Specification and Contract Development</b>			
The process involved in the development and specification of a contract	<b>Ordinary Contract: destroy 6 years after the terms of contract have expired</b> <b>Contracts Under Seal: destroy 12 years after the terms of the contract have expired</b>	Tender specification	<b>Statutory</b>
<b>Tender Issuing and Return</b>			
The process involved in the issuing and return of a tender	<b>Destroy 6 years after the end of the financial year to which they relate</b>	Opening notice <ul style="list-style-type: none"> <li>• Tender envelope</li> </ul>	<b>Common practice</b>
<b>Evaluation of Tender</b>			
Successful tender document	<b>Ordinary Contract: destroy 6 years after the terms of contract have expired</b> <b>Contracts Under Seal: destroy 12 years after the terms of the contract have expired</b>	Tender documents <ul style="list-style-type: none"> <li>• Quotations</li> <li>• Evaluation criteria</li> </ul>	<b>Statutory</b>
Unsuccessful tender documents	<b>Destroy 6 years after the end of the financial year to which they relate</b>	Tender documents <ul style="list-style-type: none"> <li>• Quotations</li> </ul> Evaluation criteria	<b>Common practice</b>
<b>Post Tender Negotiation</b>			
The process in negotiation of a contract after a	<b>Destroy 6 years after the end of the financial</b>	Clarification of contract <ul style="list-style-type: none"> <li>• Post tender negotiation minutes</li> </ul>	<b>Common practice</b>

<b>Record</b>	<b>Recommended Retention Period</b>	<b>Examples of Records</b>	<b>Notes</b>
preferred tender is selected	year to which they relate		
<b>Awarding of Contract</b>			
The process of awarding of contract	<b>Ordinary Contract: destroy 6 years after the terms of contract have expired</b> <b>Contracts Under Seal: destroy 12 years after the terms of the contract have expired</b>	Signed contract	<b>Statutory</b>
<b>Contract Management</b>			
Contract operation and monitoring	<b>Destroy 3 years after the terms of the contract have expired</b>	Service Level Agreements <ul style="list-style-type: none"> <li>• Compliance reports</li> <li>• Performance reports</li> </ul>	<b>Common practice</b>
Management and amendment of contract	<b>Ordinary Contract: destroy 6 years after the terms of contract have expired</b> <b>Contracts Under Seal: destroy 12 years after the terms of the contract have expired</b>	Minutes and papers of meetings <ul style="list-style-type: none"> <li>• Changes to requirements</li> <li>• Variation forms</li> <li>• Extension of contract</li> <li>• Complaints</li> <li>• Disputes on payments</li> </ul>	<b>Statutory</b>
<b>Statutory Services</b>			
<b>Financial Management</b>	<b>IN ADDITION TO THE ITEMS BELOW SPECIFIC GUIDANCE ON RETAINING FINANCIAL DOCUMENTS IS ATTACHED AS AN APPENDIX TO THIS SCHEDULE</b>		
<b>Accounts and Audit Reporting</b>			
The process that consolidates financial transactions on an annual basis for corporate	<b>Permanent</b>	Consolidated annual reports <ul style="list-style-type: none"> <li>• Consolidated financial statements</li> <li>• Statement of financial position</li> <li>• Operating statements</li> </ul>	<b>Common practice</b>

<b>Record</b>	<b>Recommended Retention Period</b>	<b>Examples of Records</b>	<b>Notes</b>
reporting purposes		<ul style="list-style-type: none"> <li>• General ledger</li> </ul>	
	<b>Destroy 7 years after the end of the financial year in which the records were created</b>	Public Display accounts	<b>Common practice</b>
The process that supports and consolidates financial transactions on a periodic basis, superseding those from the previous period. Does <b>not</b> include journals and subsidiary ledgers and cash books	<b>Destroy 6 years after the end of the financial year to which they relate</b>	Consolidated monthly and quarterly returns <ul style="list-style-type: none"> <li>• Consolidated monthly and quarterly financial statements</li> <li>• Working papers for the preparation of the above</li> <li>• Monthly accrual statements</li> <li>• Cashflow statements</li> <li>• Creditor listings and reports</li> <li>• Debtor listings and reports</li> </ul>	<b>Common practice</b>
<b>Financial Transactions Management</b>			
Management of the approvals process for purchase, including investigations	<b>Destroy 6 years after the end of the financial year in which the records were created</b>	Appointments and delegations <ul style="list-style-type: none"> <li>• Audit investigations</li> <li>• Arrangements for the provision of goods and/or services</li> </ul>	<b>Statutory</b>
Identification of the receipt. Expenditure and write offs of public monies	<b>Destroy 6 years after the conclusion of the financial transaction that the record supports</b>  <b>Cheque counterfoils, bank statements – 2 years after the end of the year to which they relate</b>	Allowances <ul style="list-style-type: none"> <li>• Invoices</li> <li>• Credit card statements</li> <li>• Cash books</li> <li>• Cheque counterfoils</li> <li>• Bank statements</li> <li>• Subsidiary ledgers – annual</li> <li>• Journals – annual</li> <li>• Vouchers</li> <li>• Periodic payment records</li> <li>• Creditor notes</li> </ul>	<b>Statutory</b> <b>This period may be reduced with the agreement of C &amp; E and or the I R</b>

Record	Recommended Retention Period	Examples of Records	Notes
	<p><b>2 + current year</b></p> <p><b>Where the petty cash record is used for VAT purposes then destroy 6 years after the end of the financial year to which they relate</b></p> <p><b>Sales invoices - Destroy 6 years after the end of the financial year to which they relate</b></p>	<p>Work Orders</p> <ul style="list-style-type: none"> <li>• Delivery notes</li> <li>• Imprest documentation</li> <li>• Petty cash</li> <li>• Receipts</li> <li>• Records of receipt books issued</li> <li>• Registrars quarterly returns</li> <li>• Sales records</li> <li>• Periodic income records</li> <li>• Income posting slips and tabulations</li> <li>• Debtor accounts – non-current records</li> <li>• Income correspondence</li> </ul>	<p><b>CIPFA</b></p>
<p>Process involving the provision and support for individuals using public transport</p>	<p><b>Destroy 6 years after the conclusion of the financial transaction that the record supports</b></p>	<p>Applications</p> <ul style="list-style-type: none"> <li>• Card issues</li> <li>• Rail warrants</li> </ul>	<p><b>Statutory</b></p>
<p>Processes that balance and reconcile financial accounts</p>	<p><b>Destroy 2 years after administrative use is concluded</b></p>	<p>Reconciliation</p> <ul style="list-style-type: none"> <li>• Summaries of accounts</li> </ul>	<p><b>Common practice</b></p>
<p>Taxation records</p>	<p><b>Destroy 7 years after the end of the financial year in which the records were created</b></p>	<p>Taxation records</p> <ul style="list-style-type: none"> <li>• Motor vehicle logs</li> <li>• Fringe benefits tax records</li> <li>• Group certificates</li> </ul>	<p><b>Statutory</b></p>
<p>Processes involved in the collection of National Insurance Numbers</p>	<p><b>Destroy 2+ current year after the employee ceases employment</b></p>	<p>Notification and input records</p>	<p><b>Common practice</b></p>
<p><b>Payroll</b></p>			
<p>Accountable processes relating to payment of employees</p>	<p><b>Destroy 7 years after the conclusion of the financial transaction that the record supports</b></p>	<ul style="list-style-type: none"> <li>• Payroll deduction authorities</li> <li>• Payroll disbursements</li> <li>• Employee pay records</li> </ul>	<p><b>Statutory</b></p>

<b>Record</b>	<b>Recommended Retention Period</b>	<b>Examples of Records</b>	<b>Notes</b>
		<ul style="list-style-type: none"> <li>Employee taxation records</li> </ul>	
Non-accountable processes relating to payment of employees	<b>Destroy 2 years after the end of the financial year to which they relate</b>	Summary employee pay reports	<b>Common practice</b>
<b>Financial Provisions</b>			
<b>Budgets and Estimates</b>			
The process of finalising our annual budget	<b>Permanent</b>	Annual budget	<b>Common practice Only one version of the annual budget needs to be kept</b>
The process of developing our annual budget	<b>Destroy 3 years after annual budget adopted</b>	Draft budgets Departmental budgets Draft estimates	<b>Common practice</b>
The process of reporting which examines the budget in relation to actual revenue and expenditure	<b>Destroy after next years' annual budget has been adopted and that years accounts have been audited and closed</b>	Quarterly statement	<b>Common practice</b>
<b>Treasury Management</b>			
<b>Loans</b>			
The activity of borrowing money to enable us to perform our functions and exercise our powers	<b>Destroy 7 years after the loan has been repaid</b>	Loan files	<b>Statutory</b>
Summary management of loans	<b>Permanent</b>	Loans registers	<b>Common practice</b>
<b>Housing</b>			
<b>The process of offering financial help with</b>			

<b>Record</b>	<b>Recommended Retention Period</b>	<b>Examples of Records</b>	<b>Notes</b>
<b>welfare housing provision and maintenance</b>			
Mortgages	<b>Last payment + 6 years if signed Last payment + 12 years if sealed</b>	Mortgage agreements Correspondence	<b>Statutory</b>
'Right to Buy'	<b>Permanent</b>	Sale documents Agreement concerning sales	<b>Common practice</b>
Home Improvements Grants	<b>Destroy 6 years after last payment for grants under £50K. Grants over £50K destroy 12 years after last payment</b>	Agreement to pay loan Details of payments Correspondence relating to loans	<b>Statutory</b>
<b>Council Tax Valuation</b>			
The valuation of rateable land within a municipal district for the purpose of the making of the rate	<b>Permanent</b>	Valuation lists Correspondence Objections Reports	<b>Common practice</b>
<b>Property History</b>			
The recording of information for rateable properties identifying the person or company rated, including details of the value of the property	<b>Permanent</b>	Rate books Rate cards Registers of rateable properties	<b>Common practice</b>
<b>Rates and Local Authority Tax Correspondence</b>			
The activity of corresponding with ratepayers in relation to	<b>Destroy 7 years after last action</b>	Notices Objections Applications	<b>Common practice</b>

<b>Record</b>	<b>Recommended Retention Period</b>	<b>Examples of Records</b>	<b>Notes</b>
valuations, rates and charges, objections, submissions, appeals, rate remissions and other rates related matters		Correspondence Rate certificates Notices of acquisitions and disposition Rate property file	
<b>Asset monitoring and maintenance</b>			
Summary management reporting on the overall assets of our authority	<b>Permanent</b>	Schedules of acquisition Consolidated current asset reports Annual reports Summary of current assets Asset registers	<b>Common practice</b>
Management systems that allow the monitoring and management of assets in summary form	<b>Destroy 7 years after the conclusion of the financial transaction that the record supports</b>	Subsidiary asset registers	<b>Common practice</b>
Process of reporting and reviewing assets status	<b>Destroy 3 years after administrative use is concluded</b>	Routine returns and reports on asst status Inventories Stocktaking Surveys of usage Acquisition and disposal reports and proposals	<b>Common practice</b>
The process of maintaining assets	<b>Destroy 6 years after final action contracts executed underhand and 12 years after final action contracts executed under seal</b>	Garden maintenance Cleaning Painting <ul style="list-style-type: none"> <li>• Servicing</li> </ul>	<b>Common practice</b>
The process of maintaining plant and equipment	<b>Destroy 7 years after last action</b>	Service records Plant files	<b>Common practice</b>
<b>Asset Acquisition and Disposal</b>			
Management of the acquisition – by financial	<b>Destroy 6 years if under £50K, 12 years if over</b>	Legal documents relating to the purchase/sale Particulars of sale documents	<b>Statutory</b>

<b>Record</b>	<b>Recommended Retention Period</b>	<b>Examples of Records</b>	<b>Notes</b>
purchase or lease – and disposal – by sale or write off – process for assets	<b>£50K, after all obligations/entitlements are concluded</b>	Board of summary Leases Applications for leases, licences and rental revision Tender documents Conditions of contracts Certificates of approval	
<b>Property and Land Management</b>			
Reports to management on overall property of the authority	<b>Permanent</b>	Consolidated property and buildings annual reports Summary of leased property Summary of local authorities owned property Site register Register of leases	<b>Common practice</b>
<b>Property Acquisition and Disposal</b>			
Management of the acquisition process – by financial lease or purchase - for real property	<b>Retain for life of property + 12 years</b>	Plans	<b>Common practice</b>
Management of the disposal process – by sale or write off – for real property	<b>Destroy 15 years after all obligations/entitlements are concluded Transfer deeds are to be kept permanently</b>	Legal documents relating to the sale Particulars of sale documents Board of summary Tender documents Conditions of contracts	<b>Common practice</b>
<b>Property Development and Renovation</b>			
<b>The process of managing and undertaking renovations and development of property</b>			

<b>Record</b>	<b>Recommended Retention Period</b>	<b>Examples of Records</b>	<b>Notes</b>
Management – buildings and estates of ‘special interest’	<b>Permanent</b>	Project specifications Plans Installation/operating manuals Certificates of approval	<b>Common practice</b>
Management – all other buildings and estates	<b>Retain for life of property or building</b>	Project specifications Plans Installation/operating manuals Certificates of approval	<b>Common practice</b>
	<b>Permanent</b>	Asbestos records	<b>Common practice</b>
The action process involved in the development and renovation of property	<b>Destroy 3 years after the conclusion of the transaction that the record supports</b>	Work orders Tender documents	<b>Common practice</b>
	<b>Destroy 6 years after final action contracts executed underhand and 12 years after final action contracts executed under seal</b>	Final accounts <ul style="list-style-type: none"> <li>• Conditions of contract</li> </ul>	<b>Common practice</b>
<b>Leasing and Occupancy</b>			
The process of managing leased property	<b>Destroy 15 years after the expiry of the lease</b>	Lease agreements Rental expenditure authorities Valuation queries Applications for leases, licences and rental revision	<b>Common practice</b>
The process of managing the occupancy of property	<b>Destroy 7 years after the conclusion of the transaction that the record supports</b>	Requests for works, cleaning	<b>Common practice</b>
<b>Systems Management</b>			
The internal process to develop or extend the	<b>Retain for life of system then destroy</b>		

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capabilities of a system used to support the activities of our authority			
The process to implement a system used to support our activities	<b>Destroy 7 years after last action</b>	Implementation plan	
The process to support and administer a system used to support our activities	<b>Destroy 5 years after last action</b>		
<b>Transport Management</b>			
The process of acquisition and disposal of vehicles through lease or purchase	<b>Destroy 7 years after the disposal of the vehicle</b>	Leases Contracts Quotes Approvals Fleet authorisation numbers	<b>Common practice</b>
The process of managing allocation and maintenance of vehicles	<b>Destroy 7 years after the sale or the disposal of the vehicle</b>	Approvals as drivers Allocations and authorisations for vehicles maintenance	<b>Common practice</b>
The process of recording vehicle mileage	<b>Destroy 3 years after the sale or the disposal of the vehicle</b>	Vehicle usage reports	<b>Common practice</b>
The process of recording driver usage	<b>Destroy 7 years after the sale or the disposal of the vehicle</b>	Vehicle log book	<b>Common practice</b>
<b>Insurance</b>			
<b>Policy management</b>			
The summary management of insurance arrangements	<b>Permanent</b>	Insurance register	<b>Common practice</b>
The process of insuring officer, property, vehicles and equipment against	<b>Permanently</b>	Insurance policies correspondence	<b>Common practice</b>

<b>Record</b>	<b>Recommended Retention Period</b>	<b>Examples of Records</b>	<b>Notes</b>
negligence, loss or damage			
The process of renewing insurance policies	<b>Destroy 5 years after the insurance policy has been renewed</b>	Insurance policy renewal records Correspondence	<b>Common practice</b>
<b>Claims management</b>		•	
The process that records insurance claims against the authority or officers	<b>Destroy 7 years after all obligations/entitlements are concluded (allowing for the claimant to reach 25 years of age)</b>	Claims records Correspondence	<b>Statutory</b>
<b>General Public Services</b>			
<b>Health and Safety</b>			
<b>Inspections and Assessments</b>			
Process of inspecting equipment to ensure it is safe	<b>Destroy 6 years from destruction of the equipment</b>	Equipment inspection records	<b>Statutory</b>
Process of carrying out monitoring to ensure that the process is safe	<b>Destroy 6 years from last action</b>	Monitoring results	<b>Statutory</b>
Process of monitoring of areas where employees and persons are likely to have become in contact with <b>asbestos</b>	<b>Destroy 40 years from last action or age 75 years whichever is the greater</b>	Property asbestos files	<b>Common practice based on Statutory</b>
Process of monitoring of areas where employees and persons are likely to have come in contact with <b>radiation</b>	<b>Destroy 50 years from last action or at age 75 years which ever is the greater</b>	Radon monitoring	<b>Common practice based on Statutory</b>
Process to ensure safe systems of work	<b>Retain until superseded or process ceases + 3</b>		<b>Common practice</b>

<b>Record</b>	<b>Recommended Retention Period</b>	<b>Examples of Records</b>	<b>Notes</b>
	<b>years</b>		
Process to assess the level of risk	<b>Destroy 3 years from last assessment</b>	Risk assessment	<b>Statutory</b>
Processes that permit work	<b>Destroy 3 years from last action</b>		<b>Common practice</b>
Process that records injuries to adults	<b>Destroy 3 years from closure</b>	Accident books	<b>Statutory</b>
Process that records injuries to children	<b>Destroy 25 years from closure</b>	Accident books	<b>Based on Statute</b>
<b>Emergency Planning</b>			
Process to develop the emergency/disaster plan for the local community	<b>Permanent</b>	Major incident plan	
Process of recording the results of the test emergency/disaster plan for the local community	<b>Destroy 10 years after closure</b>		
<b>Major Incident</b>			
Activities that report on all major incidents in the local community, whether the emergency plan has been invoked or not	<b>Permanent</b>		
Activities that report on all minor incidents in the local community	<b>Destroy 6 years from closure</b>		
<b>Enforcement Certification and Prosecution</b>			
<b>Registration, Certification and Licensing</b>			
Summary management	<b>Permanent</b>	Visual impairment register	<b>Common practice</b>

Record	Recommended Retention Period	Examples of Records	Notes
systems that allow the monitoring and management of registration, certification and licences registration requirements in summary form			
The administration of applications, registration, certification and licences in relation to the authorities registration requirements	<b>Destroy 3 years after registration or entitlement lapses</b>	<ul style="list-style-type: none"> <li>• Applications for animal registration</li> <li>• Applications for registration of a business premises</li> <li>• Applications for release of animals impounded</li> <li>• Registers</li> <li>• Certificates of registration of: <ul style="list-style-type: none"> <li>○ door supervisors</li> <li>○ taxi drivers</li> <li>○ beauty therapists</li> </ul> </li> <li>• Animal movement licences</li> <li>• Gaming</li> <li>• Fire certification</li> <li>•</li> </ul>	<b>Statutory</b>
The process involved in licensing sites for the holding or use of toxic or hazardous substances – petroleum, agricultural chemical products or herbicides	<b>Permanent</b>	<ul style="list-style-type: none"> <li>• Diesel licences</li> <li>• Petroleum licences</li> <li>• Health and safety licensing</li> <li>• Hazardous substances</li> <li>• Contaminated land register/pollution</li> </ul>	<b>Common practice</b>
<b>Benefits Investigations</b>		<ul style="list-style-type: none"> <li>•</li> </ul>	
The process of investigating benefits claims	<b>Destroy 3 years following date of conviction</b>	<ul style="list-style-type: none"> <li>• Prosecution files</li> <li>• Tapes</li> </ul>	<b>Common practice</b>
<b>Notification</b>			

<b>Record</b>	<b>Recommended Retention Period</b>	<b>Examples of Records</b>	<b>Notes</b>
The process of issuing notification to citizens with respect to particular responsibilities	<b>Destroy 3 years after the matter is concluded</b>		<b>Common practice</b>
<b>Investigation, monitoring and Inspection</b>			
The process of investigation, monitoring or inspection laws in our responsibility	<b>Destroy 6 years from last action</b>		<b>Common practice</b>
<b>Prosecution</b>			
The process of prosecution or sanction of an individual or organisation for failing to comply with their legal responsibilities	<b>Destroy 7 years from last action</b>	Prosecution/sanction files	<b>Common practice</b>
Record of Prosecutions	<b>Permanent</b>		
<b>Bye-Laws</b>			
<b>Enactment</b>			
The process of making local laws	<b>Permanent</b>	<ul style="list-style-type: none"> <li>• Master Set of bye-laws</li> <li>• Policy development documents</li> <li>• Correspondence</li> <li>• Submissions</li> </ul>	<b>Common practice</b>
<b>Administration and Enforcement</b>			
The process of administering and enforcing bye-laws	<b>Destroy 3 years after certificate has expired or penalty payment has been made or the matter has been finished or</b>		<b>Common practice</b>

<b>Record</b>	<b>Recommended Retention Period</b>	<b>Examples of Records</b>	<b>Notes</b>
	correspondence on the matter has ceased		
<b>Cemeteries and Crematoria</b>			
Summary management systems that record the location of burials and identity of deceased individuals	<b>Permanent</b>	<ul style="list-style-type: none"> <li>• Register of interments</li> <li>• Cemetery register</li> <li>• Cemetery plans</li> </ul>	<b>Common practice</b>
The process of regulation of burials and cremations	<b>Destroy 6 years after last action</b>	<ul style="list-style-type: none"> <li>• Permits</li> <li>• Applications</li> <li>• orders</li> </ul>	<b>Common practice</b>
		<ul style="list-style-type: none"> <li>•</li> </ul>	
<b>Waste Management</b>			
<b>The provision of hard waste removal, destruction and waste reduction services by the authority to ratepayers</b>			
<b>Collection</b>			
The process of arranging the collection or transportation of household waste	<b>Destroy 3 years after last action</b>		<b>Common practice</b>
The process of arranging the collection or transportation of controlled waste	<b>Destroy 6 years after last action</b>		<b>Common practice</b>
<b>Disposal of waste</b>			
The summary management of sites used for the disposal of waste with our authority	<b>Permanent</b>		<b>Common practice</b>
The process of the short-	<b>Destroy 10 years after</b>	Transfer sites	<b>Common practice</b>

<b>Record</b>	<b>Recommended Retention Period</b>	<b>Examples of Records</b>	<b>Notes</b>
term storage of household waste	<b>closure of the site</b>		
The process involved in managing the use, type and amount of waste to be disposed at a specific site	<b>Permanent</b>	Waste site plans	<b>Common practice</b>
<b>Planning and Land Use</b>			
<b>Planning Scheme Development and Amendment</b>			
The activity of developing a vision and strategic directions regarding existing and future land use within the authority and the development of local or town centre plans to ensure the implementation of the Structure Plan	<b>Permanent</b>	<ul style="list-style-type: none"> <li>• Structure Plan</li> <li>• Local Plan</li> <li>• Town Centre plans</li> <li>• Unitary Development plans</li> </ul>	<b>Common practice</b>
The activity of consultation to gain approval for the Structure Plan – Unitary Development Plans or Local Plans	<b>Permanent</b>	<ul style="list-style-type: none"> <li>• Consultation documents and replies</li> <li>• Inquiries and objections made by members of the public</li> <li>• Public inquiry documents</li> </ul>	<b>Common practice</b>
The activity of recording information on historical buildings, monuments and ecology at a specific site	<b>Permanent</b>	<ul style="list-style-type: none"> <li>• Sites and Monuments records</li> <li>• Ecological records</li> <li>• Species records</li> <li>• Historically listed buildings</li> <li>• Definitive map</li> <li>• Commons registration</li> </ul>	<b>Common practice</b>
The activity of establishing planning scheme controls	<b>Permanent</b>	<ul style="list-style-type: none"> <li>• Amendments to definitive map</li> <li>• Land use surveys</li> </ul>	<b>Common practice</b>

<b>Record</b>	<b>Recommended Retention Period</b>	<b>Examples of Records</b>	<b>Notes</b>
and providing for them to be amended			
The process of receiving, considering and responding to submissions and objections to planning schemes and amendments	<b>Destroy 12 years after decision. Permanently keep controversial/high profile schemes</b>	<ul style="list-style-type: none"> <li>• Objections/Responses</li> </ul>	<b>Common practice</b>
The process of controlling development of areas through applications for planning permission	<b>Permanent</b>	<ul style="list-style-type: none"> <li>• Planning applications files and plans</li> <li>• Correspondence relating to any objections</li> <li>• Hearing papers</li> <li>• Planning application register</li> </ul>	<b>Common practice</b>
The process of maintaining the countryside and developing open spaces for public amenity	<b>Keep all policy files/transfer orders permanently. Destroy correspondence 6 years after administrative use is concluded</b>	<ul style="list-style-type: none"> <li>• Tree preservation orders</li> <li>• Country parks and nature reserves development plans and correspondence</li> <li>• Land purchase agreements</li> </ul>	<b>Common practice</b>
<b>Planning Scheme Regulation</b>			
The summary management of planning scheme regulation	<b>Permanent</b>	Building Control registers	<b>Common practice</b>
The process of regulating the planned use of land or buildings	<b>Destroy 15 years after closure</b>		<b>Common practice</b>
The process of approving building applications in relation to listed or other significant buildings	<b>Permanent</b>	<ul style="list-style-type: none"> <li>• Building files</li> <li>• Plans</li> <li>• Specifications</li> <li>• Correspondence</li> <li>• Applications</li> <li>• Permits</li> <li>• Certificates</li> </ul>	<b>Common practice</b>
The process of approving	<b>Destroy 15 years after</b>	<ul style="list-style-type: none"> <li>• Building files</li> </ul>	<b>Common practice</b>

Record	Recommended Retention Period	Examples of Records	Notes
building applications, for all other buildings	<b>construction completed</b>	<ul style="list-style-type: none"> <li>• Plans</li> <li>• Specifications</li> <li>• Correspondence</li> <li>• Applications</li> <li>• Permits</li> <li>• Certificates</li> </ul> Objections	
The process of inspecting building work for the purpose of ensuring compliance	<b>Destroy 15 years after the issue of a certificate of final inspection</b>	<ul style="list-style-type: none"> <li>• Certificate of final inspection</li> <li>• Building inspection records</li> <li>• Diaries</li> </ul>	<b>Common practice</b>
The process of enforcing building or land regulations	<b>Destroy 3 years after compliance with enforcement notice</b>		<b>Common practice</b>
<b>Infrastructure and Transport</b>			
<b>Personnel administration</b>			
Summary management systems that allow the monitoring & management of employees in summary form.  <u>Note: The summary information that this record class attempts to capture is:-</u>  Name  Date of Birth	<b>Permanent.</b>	Employment Register - Permanent Staff  Employment Register - Temporary Staff  Employment Register - Casual Staff  Personal History Cards  Superannuation History Card  Salary Master Record	Common practice

Record	Recommended Retention Period	Examples of Records	Notes
<p>Date of Appointment</p> <p>Work History Details</p> <p>Position/Designation</p> <p>Titles &amp; Dates Held</p>			
<p>The process of administering employees to ensure that entitlements &amp; obligations are in accordance with agreed employment requirements.</p> <p>Records containing superannuation information</p>	<p>Destroy <b>12</b> years from date of last pension payment</p>	<p>Medical Clearance</p> <p>Letter of appointment</p> <p>Letter of acceptance</p> <p>Details of assigned duties</p> <p>Probation reports</p> <p>Medical examinations</p> <p>Personal particulars</p> <p>Educational qualifications</p> <p>Declarations of pecuniary interests</p> <p>Secrecy undertakings</p> <p>Employment contracts</p>	<p>Common practice</p>
<p>Personal records</p>	<p>Destroy <b>75</b> years after Date of Birth</p>	<p>Completed application form</p>	<p>Common practice</p>

Record	Recommended Retention Period	Examples of Records	Notes
		<p>Letter of appointment</p> <p>Letter of acceptance</p> <p>Medical clearance</p> <p>Job description</p> <p>Sickness records</p> <p>Political restriction</p> <p>Employment contract</p> <p>Disciplinary and grievance records*</p> <p>Equal opportunities investigation records</p> <p>Leave cards</p> <p>Health and Safety records and correspondence</p> <p>* these records are also subject to their own retention period</p>	
Records relating to staff working with children	Termination + 25 years		
All other records	Termination + 6 years		

<b>Record</b>	<b>Recommended Retention Period</b>	<b>Examples of Records</b>	<b>Notes</b>
<b>Employee and Industrial Relations</b>			
Identification & development of significant directions concerning industrial matters	Destroy <b>5</b> years after administrative use is concluded.	Generic agreements and awards Negotiations Disputes Claims lodged	Common practice
Liaison processes of minor and routine industrial matters	Destroy <b>2</b> years after administrative use is concluded.	Daily Industrial Relations management	Common practice
Processing of Disciplinary and Grievances Investigations where proved	Oral Warning - 6 months. Written Warning - 1 year. Final Warning - 18 months. The above warnings to be removed & destroyed after the relevant time has been spent. Warnings Involving Children - placed on personal file permanently	Disciplinary records	For all practical purposes this function would not be subject to records management, except for Warnings Involving Children, which remain on the personal file permanently for reference purposes.
Processing of Disciplinary and Grievances Investigations where unfounded)	Destroy immediately after the grievance has been found to be have been unfounded; or after appeal	Disciplinary records	Common practice
<b>Equal Employment Opportunities</b>			
The process of investigation and reporting	Destroy <b>5</b> years after action completed		Common practice

<b>Record</b>	<b>Recommended Retention Period</b>	<b>Examples of Records</b>	<b>Notes</b>
on specific cases to ensure that entitlements & obligations are in accordance with agreed Equal Employment Opportunities guidelines policies.			
<b>Occupational Health</b>			
The process of checking and ensuring the health of staff.	Destroy <b>75</b> years after Date of Birth	Medical clearance Job description	Common practice
<b>Recruitment</b>			
The selection of an individual for an established position	Destroy <b>1</b> year after recruitment has been finalised. For letter of appointment for successful candidate use employment conditions)	Advertisements Applications Referee reports Interview reports Unsuccessful applicants' details held for 6 months only	Common practice
<b>Staff Monitoring</b>			
Performance	Destroy <b>5</b> years after action completed	Probation reports Performance plans	Common practice
Process of monitoring staff leave and attendance.	Destroy <b>2</b> years after action completed	Sick leave Jury service Study leave Special and personal leave Attendance books Flexitime sheets	Common practice

<b>Record</b>	<b>Recommended Retention Period</b>	<b>Examples of Records</b>	<b>Notes</b>
		Leave applications Clock on/off cards Annual leave	
<b>Staff Retention</b>			
Financial reward	Destroy <b>7</b> years after action completed		Common practice All records relating to actual payments are dealt with under finance
Other strategy	Destroy <b>3</b> years after action completed		Common practice
<b>Termination</b>			
The process of termination of staff through voluntary redundancy, dismissal and retirement.	Destroy <b>6</b> years after termination If a pension is paid then records should be destroyed 6 years after last payment of pension	Resignation Redundancy (section 188) Dismissal Death Retirement	Common practice
<b>Training and Development</b>			
Routine staff training processes, not occupational health and safety or children related.	Destroy <b>2</b> years after action completed	Course individual staff assessment	Common practice
Training (concerning children)	Destroy <b>35</b> years after training completed, or last entry	Course individual staff assessment Training register	Common practice

Record	Recommended Retention Period	Examples of Records	Notes
Training (occupational health and safety training)	Destroy <b>50</b> years after training completed Individual course assessment records should be destroyed once the training has been renewed every 3 years	OH&S training register	Common practice
Training (materials)	Destroy <b>1</b> year after course is superseded		Common practice
Training (proof of completion)	Destroy <b>7</b> years after action completed	Certificates Awards Exam results	Common practice
<b>Appointments of Statutory Officers</b>			
Summary management systems that allow the monitoring & management of statutory officers in summary form	<b>Permanent. Offer to Archivist.</b> Transfer to Place of Deposit after administrative use is concluded		Common practice
The process of administering employees to ensure that entitlements & obligations are in accordance with agreed employment requirements	Destroy <b>6</b> years after departure from Employment		Common practice
The appointment of an individual for a statutory	<b>Permanent.</b>	Appointment Files	Common practice

Record	Recommended Retention Period	Examples of Records	Notes
position.			
The process of selection of an individual for an statutory position	Destroy <b>2 years</b> after date of appointment	Vacancies & Applications Records Interview notes Prospective Staff Records Registers of Applicants Unsuccessful Applications Records	Common practice