



Document Retention Policy

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1. **Introduction**

- 1.1 Information is one of the Council's key corporate assets; in the course of carrying out its many functions, Three Rivers District Council (TRDC) accumulates information from both individuals and external organisations. TRDC also generates a wide range of data, which is recorded in a variety of ways.
- 1.2 These documents and records are in many different formats, examples of which include, but are not limited to communications such as letters, emails, reports, notes and minutes; financial information including invoices, statements, receipts and remittance notes; legal documents such as contracts and deeds; and information relating to various types of applications, including forms, plans, drawings and photographs. Information may also be held in the form of audio and video recordings.
- 1.3 For the purposes of this Policy, the terms 'document' and 'records' are defined widely in Appendix 1.
- 1.4 In certain circumstances it is necessary to retain specific documents in order to fulfil statutory or regulatory requirements and also to meet operational needs. Document retention may also be useful to evidence events or agreements in the case of disputes, and also to preserve information which has historic value.
- 1.5 Inappropriate management of documents could result in inability to defend claims, operational difficulties and failure to comply with the Code of Transparency in Local Government, the Freedom of Information Act 2000, the Data Protection Act 2018, the General Data Protection Regulation and other similar legislation regarding management of information.
- 1.6 Equally, the retention of all documents and records is impractical. Appropriate management and disposal of documents is essential. Disposal will assist TRDC to maintain sufficient electronic and office storage space and will de-clutter office accommodation, resulting in a more effective working environment. Lengthy or indefinite retention of personal information for example, could place TRDC at risk of breaching Data Protection Act legislation.

- 1.7 It is important for these reasons that TRDC has management systems in place for the timely publication of information and the timely, secure disposal of documents, information and records that are no longer needed.

2. Aims and Objectives

- 2.1 The key objective of this policy is to provide TRDC with a simple framework which is compatible with information management legislation and guidance and will enable effective management and decisions on whether a particular document should be published, retained or disposed of. In the case of documents which are to be retained by TRDC, the policy includes guidance on effective management of documents, the format in which they should be retained and information on appropriate retention periods.

- 2.2 Implementation of the policy will save TRDC officers' time when retrieving information, in particular by making it easier to comply with all information management legislation and reducing the amount of information that may be held unnecessarily. Additionally, the policy should help to ensure that the Council archives records and documents that are of historical value appropriately for the benefit of future generations.

3. Scope

- 3.1 This Document Retention Policy applies to all information held by the Council and its external service providers where they are holding, managing and processing information on the Council's behalf.

4. The Council's Policy Statement

- 4.1 TRDC will ensure that information legislation is complied with, documents and information are not kept longer than is necessary and it appropriately retains the information that it needs to carry out its statutory functions, openness and transparency obligations and the provision of services.

5. Retention and Disposal Policy

- 5.1 Decisions on the retention, publication and disposal of documentation and information should be taken in accordance with this policy, in particular:
- Appendix 1 – Documents: List of possible records formats media.
 - Appendix 2 – Document Management Considerations: a checklist to be followed where the management of any document and information is being considered.

- Appendix 3 – Document Retention Schedules: Comprehensive guidance on the recommended and statutory minimum retention periods for specific types of documents and records.

5.2 In circumstances where a retention period of a specific document has expired, a review should always be carried out prior to a decision being made to dispose of it. This review should not be particularly time consuming and should be straightforward. If the decision to dispose of a document is taken, then consideration should be given to the method of disposal to be used.

6. Roles and Responsibilities

6.1 Heads of Service or in their absence, managers within service areas (collectively all known as “**Managers**”), are responsible for document management and determining in compliance with this policy whether to publish, retain or dispose of specific documents within the remit of their service area.

6.2 Managers may delegate the operational aspect of this function within their service area, but ownership and responsibility for document management rests with them.

6.3 Managers should seek legal advice if they are uncertain as to whether minimum retention periods are prescribed by law, or whether the retention of a document is necessary to protect the Council’s position where a claim has been identified.

6.4 No single person or team possesses the corporate operational knowledge required to assess whether a particular document may be required in any or every service area for operational need. Consequently, such matters are the responsibility of Managers for the service area(s) they are managing.

6.5 Managers should ensure that the Schedule in Appendix 3 which is relevant to their service(s) is / are kept up to date.

7. Disposal

7.1 Confidential waste documents should be made available for collection by use of the confidential waste bins which are located around the offices in order that they can be destroyed. It is essential that any documents which are to be thrown away, and contain confidential or personal data must be disposed of in this way, in order to avoid breaches of confidence or breaches of the Data Protection legislation.

7.2 Disposal of documents other than those containing confidential or personal data may be disposed of by binning, recycling, deletion (in the case of electronic documents by means such as deletion, magnetic wiping and physical pulverisation), and the transfer of documents to external bodies. Transfer of documents to external bodies will be unusual but likely be relevant where documents are of historic interest and may therefore be sent to the county archivist or a museum.

Appendix 1 Documents – List of Possible Records Formats and Media

This is a non-exhaustive list of possible document and other formats that may be records. It does not include every possible format. Some formats may be specific to a particular type of media e.g. web sites on digital media; while others may be found in more than one medium e.g. letters and reports may be on paper and/or digital media.

- Correspondence/letters
- Training materials
- Meetings agendas, minutes/notes, supporting papers
- Reports
- Presentations (text, slides, charts, illustrations, etc.)
- Directives and policy statements
- Manuals and instructions
- Forms
- Books of account (or equivalent)
- Financial transactional documents eg invoices, statements.
- Legal documents e.g. agreements/contracts, deeds
- Press releases
- Internal announcements
- Intranet sites
- Technical drawings (including CAD)
- Equipment monitoring/recording records
- Photographs, slides, transparencies and digital images
- Publications e.g. books, brochures, leaflets
- Posters
- Advertisements
- TV & radio commercials
- Film, video and sound recordings
- Microfilm and microfiche
- Memoranda
- E-mails
- Text and MMS messages
- Instant messages
- Voicemails
- Word processing, graphics and spreadsheet applications
- Specialist business IT applications
- Databases
- Data warehouses
- Websites
- Blogs
- Fixed or removable electronic or optical storage media including:
 - Desktop and laptop computers
 - CD-ROMs, DVDs and optical disks
 - Magnetic tape and disks
 - Miniaturised high density electronic storage devices e.g. memory sticks
 - Data held on PDAs (portable digital assistants) and Smart phones

Appendix 2 - Disposal and Retention Considerations

Each of the following questions and guidance underneath them should be considered prior to the disposal of any document.

Has the document been appraised?

Check that the nature and contents of the document is suitable for disposal.

Is retention required to fulfil statutory obligations or other regulatory obligations?

Specific legislation setting out mandatory retention periods for documentation held by local government is very limited, but includes the following:-

- Tax legislation – minimum retention periods for certain financial information is stipulated by the VAT Act 1994 and the Taxes Management Act 1970.
- Statutory registers – Various local government statutes requires registers to be kept for a variety of functions.
- Local Accountability and Audit Act 2014 – subject to protection of legal privilege, provides auditors with a right of access to every document relating to the Council that appears necessary for the purposes of carrying out the auditor's function under the Act.
- The Local Government Act 1972, Part VA – governs public access to certain documents relating to Council and Committee meetings.

Is retention required for evidence?

Keep any documents which may be required for legal proceedings until the threat of proceedings has passed.

The limitation period for commencing litigation should also be a key consideration. This is governed by the Limitation Act 1980 and the main time limits that apply directly to local government are:-

- Contract or tort (such as negligence or nuisance) claims (other than personal injury) cannot be brought after six years from the date on which the cause of the action occurred.
- Personal injury claims cannot be brought after three years from the date on which the cause of action occurred.
- Claims based on provisions contained in documents that are 'under seal' cannot be brought after twelve years from the date on which the cause of action occurred.

Is retention required to meet the operational needs of the service?

Consider whether the document in question may be useful for future reference, as a precedent or for performance management purposes

Is retention required because the document or record is of historic interest or intrinsic value?

In most cases this consideration will not be relevant.

If a particular document has historic or financial value, consideration should be given to whether it should be retained by the Council, or alternatively by an external body, such as the County Archivist.

The transfer, long term retention or disposal of such documents must be authorised by the relevant manager.

Appendix 3 - Document Retention Schedules

1. Introduction

The following schedules provide guidance on the retention periods applicable to a wide range of the Council's documents.

2. Explanation of Retention Schedule Headings

There is a Document Retention Schedule for each service. The headings in each Schedule are as follows:

- **Reference Number** – This section provides ease of reference.
- **Function Description** – This provides notes that define each function in terms of related activities.
- **Retention Action** – This entry provides the guidance as to whether the document should be retained, and if so how long for. It also provides guidance regarding the method by which documents should eventually be disposed of.
- **Examples of Records** – This section provides common examples of the type of records included within the particular function. This list is not exhaustive.
- **Notes** – This indicates if the retention action is common practice or statutory.

3. Glossary of Terms

- **Archiving** – The method of archiving selected for a particular document will vary between services and will depend on the type and format of documents. Staff should refer to their Managers for guidance on where documents should be archived if they are unsure. Archiving may include, but will not be limited to electronic storage on records management systems, storage in secure filing cabinets, strong rooms or other designated areas within the Council offices, and in some limited cases sending documents to external bodies such as the Local Archives or museums.
- **Administrative Use** – When business use has been ended or the file has been closed.
- **Closure** – 'Destroy 'x' years from closure'. A record/file is closed when it ceases to be active. After closure, no new papers/information should be added to the record. Triggers for closure of a file include: reaching an unmanageable size; covering a period of 'x' years or more; no records added for 'x' period of time; no action taken after 'x' period of time.
- **Closure Period** – Specified period of time during which the record is subject to restrictions on provision of access to staff and/or the public may be dictated by

- statutory requirements or by the authority's policy. Any closure period should comply with current legislation on access to local government information – including the Data Protection Act 1998 and the Freedom of Information Act 2000.
- **Common Practice** – Standard practice followed by those local authority records managers who are members of the Records Management Society.
- **Last Action** – 'Destroy 'x' years after last action.' Date of most recent amendment/addition/deletion of information.
- **Permanent** – Records which must be kept indefinitely for legal and/or administrative purposes, and/or are of enduring value for historical research purposes and so suitable for transfer to the Council's archive or place of deposit.

Service Area	Ref	Function	Function Description	Retention Action	Examples of Records	Other TRDC Examples	Department	Location (hard copy)	Location (Electronic)	Comments
1. DEMOCRATIC PROCESS	1.1	Elections – Preparation	Summary certification of those eligible to vote	Permanent. Offer to Archivist after administrative use is concluded	Electoral register		Electoral Services	Electoral Services	X-Press Election System	Common Practice
1. DEMOCRATIC PROCESS	1.2	Elections - Voting	Voting at elections	Destroy 12 months from close of poll	Ballot papers	marked registers	Electoral Services	Electoral Services		Statutory
1. DEMOCRATIC PROCESS	1.3	Elections - Results	Declaration of results	Destroy 12 months from close of poll	Consolidated returns of votes received	Formal result sheet Website results	Electoral Services Corporate Services	Electoral Services	X-Press Election System TRDC website	Statutory
1. DEMOCRATIC PROCESS	1.4	Council and Committee Meetings	The process of preparing business for Council consideration and making the record of discussion, debate and resolutions	Permanent. Transfer to Archivist after administrative use is concluded	Council minutes Council agenda and business papers Council notice papers and proceedings Indexes Committee minutes Registers of delegations to Special Committees		Committee Services	Committee Services & Legal Library	Group Share - Committee & DMU TRDC website	Common Practice
1. DEMOCRATIC PROCESS	1.5	Council and Committee Meetings	Minute Taking	Destroy after date of confirmation of the minutes	Draft minutes Audio recordings		Committee Services	Committee Services	Audio recordings (Penn Chamber)	Common Practice
1. DEMOCRATIC PROCESS	1.6	Partnership, Agency and External Meetings	The process of preparing business for partnership and agencies consideration and making the record of discussion, debate and resolutions, where the local authority legally owns the record	Permanent. Transfer to Archivist. Transfer to place of deposit after administrative use is concluded	Documents establishing the committee Agendas Minutes Council reports Recommendations Supporting documents such as Council briefing and discussion papers		Committee Services Community Partnerships	N/A	Group Share - Committee & DMU Group Share - CIU	Common Practice
1. DEMOCRATIC PROCESS	1.7	Partnership, Agency and External Meetings	The process of preparing business for external committees' consideration, and making the record of discussion, debate and resolutions, where the local authority does not own the record.	Destroy 3 years after last action	Documents establishing the committee Reports Recommendations Supporting documents such as Council briefing and discussion papers		Committee Services Community Partnerships	N/A	Group Share - Committee & DMU Group Share - CIU	Common Practice
1. DEMOCRATIC PROCESS	1.8	Honours and Submissions	The process of preparing of honours submissions	Destroy 5 years after last action	Honours nomination form Covering documentation Letters of support Referral for comment from lord lieutenant		Committee Services	Committee Services and Legal Library	Group Share - Committee & DMU	Common Practice
1. DEMOCRATIC PROCESS	1.9	Political Parties Papers	The process of undertaking representation of the local authority - local authority representatives	Destroy 3 years after last action	Leader of the Council papers Leader of the opposition papers		Committee Services	Committee Services and Legal Library	Group Share - Committee & DMU	Common Practice
1. DEMOCRATIC PROCESS	1.10	Member Expenses	The process of receiving and collating all Member claim forms for expenses and submitting monthly totals to HR	Destroy 6 years after last action		Claims forms and monthly submission excel sheet of Member claims	Committee Services	Committee Services	Group Share - Committee & DMU	Common Practice
1. DEMOCRATIC PROCESS	1.11	Chairman of the Council - correspondence and documents	The process for drafting and keeping a record of the Chairman's correspondence, activity and charity events	Destroy hard copy material 6 years after last action		Letters to and from Chairman	Committee Services	Committee Services	Group Share - Committee & DMU	Common Practice
1. DEMOCRATIC PROCESS	1.12	Members' Information Bulletin (MIB)	The process of sending out information to Members via the Members' Information Bulletin	Destroy hard copy material one year after last action			Committee Services	Committee Services (if applicable)	Group Share - Committee & DMU and website	Common Practice
1. DEMOCRATIC PROCESS	1.13	Member Details	The process of collating and keeping an up to date record of Member Details	Keep electronic copy. All hard copy forms to be scanned in and saved in Group Share. Information to be retained until Member is no longer a Councillor due to Data Protection.		How to contact your councillor, spreadsheet of Member Details	Committee Services	N/A	Group Share - Committee & DMU	Common Practice
2. MANAGEMENT AND ADMINISTRATION	2.1	Corporate Planning and Reporting	The corporate planning and reporting activities of local authorities	Permanent. Transfer to Archivist. Transfer to place of deposit after administrative use is concluded	Corporate Plans Strategy Plans Business Plans Annual Reports	Strategic Plan Service Plans	Community Partnerships		Group Share - Service Plans	Common Practice
2. MANAGEMENT AND ADMINISTRATION	2.2	Corporate Planning and Reporting	The process of preparing business for strategic consideration and making the record of discussion, debate and resolutions	Permanent. Transfer to Archivist. Transfer to place of deposit after administrative use is concluded	Strategic management team minutes	Management Board notes	Various		Group Share - CEX shared folder / Intranet	Common Practice
2. MANAGEMENT AND ADMINISTRATION	2.3	Corporate Planning and Reporting	The process of preparing business for cross departmental consideration and making the record of discussion, debate and resolutions	Destroy 3 years from closure		Working group notes	Various		Group Share - Departmental	Common Practice
2. MANAGEMENT AND ADMINISTRATION	2.4	Corporate Planning and Reporting	The process of preparing business for Unit/Team consideration and making the record of discussion, debate and resolutions	Destroy 3 years from closure		DMT notes	Various		Group Share - Departmental	Common Practice
2. MANAGEMENT AND ADMINISTRATION	2.5	Statutory Returns	The process of preparing information to be passed on to central government as part of statutory requirements	Destroy 7 years from closure	Reports to central government		Various		Group Share - Departmental	Common Practice
2. MANAGEMENT AND ADMINISTRATION	2.6	Policy, Procedures, Strategy and Structure	Activities that develop policies, procedures, strategies and structures for the local authorities	Permanent. Transfer to Archivist. Transfer to place of deposit after administrative use is concluded	Policy, procedure, precedent, instructions Organisation charts Records relating to policy implementation and development Asset management plan Community strategy Community plan Community safety plan		Community Partnerships Various		Group Share - Service Plans Group Share - Departmental Group Share - CIU	Common Practice

Service Area	Ref	Function	Function Description	Retention Action	Examples of Records	Other TRDC Examples	Department	Location (hard copy)	Location (Electronic)	Comments
2. MANAGEMENT AND ADMINISTRATION	2.7	Corporate Planning and Reporting	The process of monitoring and reviewing strategic plans, policies or procedure to assess their compliance with guidelines	Destroy 5 years from closure		The process of monitoring and reviewing strategic plans, policies or procedure	Community Partnerships		Group Share - CIU	Common Practice
2. MANAGEMENT AND ADMINISTRATION	2.8	Public Consultation	The process of consulting the public and staff in the development of significant policies of the local authority	Destroy 5 years from closure	Project plans, data returns, data analysis, final reports.		Community Partnerships		Group Share - CIU	Common Practice
2. MANAGEMENT AND ADMINISTRATION	2.9	Public Consultation	The process of consulting the public and staff in the development of minor policies of the local authority	Destroy 1 year from closure	Project plans, data returns, data analysis, final reports.		Community Partnerships		Group Share - CIU	Common Practice
2. MANAGEMENT AND ADMINISTRATION	2.10	Information Management	The activity whereby standards, authorities, restraints and verifications are introduced and maintained to manage information effectively	Permanent. Transfer to Archivist. Transfer to place of deposit after administrative use is concluded	Classification schemes Registers Indexes Authorised lists of file headings	FOI Publication Scheme	Various		Group Share - Departmental	Common Practice
2. MANAGEMENT AND ADMINISTRATION	2.11	Information Management	The management of collections of records transferred to the archives	Permanent. Transfer to Archivist. Transfer to place of deposit after administrative use is concluded	Accession registers Depositor files	N/A				Common Practice
2. MANAGEMENT AND ADMINISTRATION	2.12	Information Management	The process that records the disposal of records	Destroy 12 years after last action	Disposal certificates	N/A				Common Practice based on Limitation Act
2. MANAGEMENT AND ADMINISTRATION	2.13	Enquiries and Complaints	The management in summary form of enquiries and complaints directed to the Council	Permanent. Transfer to Archivist. Transfer to place of deposit after administrative use is concluded	Indexes Registers	Complaint folder	CSC CSC	CSC Firmstep	Group Share - CSC Firmstep	Common Practice
2. MANAGEMENT AND ADMINISTRATION	2.14	Enquiries and Complaints	The management of enquiries, submissions and complaints which result in significant changes to policy or procedures	Permanent. Transfer to Archivist. Transfer to place of deposit after administrative use is concluded	Reports Returns Correspondence	Management Board notes Committee Reports	Various		Groupshare- departmental	Common Practice
2. MANAGEMENT AND ADMINISTRATION	2.15	Enquiries and Complaints	The management of detailed responses on council actions, policy or procedures	Destroy 6 years after last action	Reports Returns Correspondence Ombudsman		Various	Departmental	Departmental	Common Practice
2. MANAGEMENT AND ADMINISTRATION	2.16	Enquiries and Complaints	The management of routine responses on council actions, policy or procedures	Destroy 2 years after last action	Printed material Form letters		Various	Departmental	Departmental Group Share - Service Plans	Common Practice
2. MANAGEMENT AND ADMINISTRATION	2.17	Quality and Performance Management	The process of monitoring or reviewing the quality, efficiency, or performance of a local authority service or unit	Destroy 5 years from closure	Best Value reviews	Data Quality Policy	Community Partnerships		Group Share - Service Plans	Common Practice
2. MANAGEMENT AND ADMINISTRATION	2.18	Quality and Performance Management	The process of assessing the quality, efficiency, or performance of a local authority service or unit	Destroy 2 years after last action	Assessment form		Various	Departmental	Groupshare- departmental	Common Practice
2. MANAGEMENT AND ADMINISTRATION	2.19	Public Relations	The process of designing setting information for publication	Destroy 3 years from last action		Three Rivers Times / Leisure brochures	Various	Communications	Apple Mac	Common Practice
2. MANAGEMENT AND ADMINISTRATION	2.20	Public Relations	The published work of the local authority	Destroy after administrative use is concluded. Note: One copy from initial print run should go directly to the archive.		Three Rivers Times / Leisure brochures	Various	Various	Apple Mac / Website	Common Practice
2. MANAGEMENT AND ADMINISTRATION	2.21	Media Relations	Process of interaction with the media	Destroy 3 years from last action	News releases	Press releases	Communications		Groupshare	Common Practice
2. MANAGEMENT AND ADMINISTRATION	2.22	Media Relations	Media publications concerning local authorities	Permanent. Transfer to Archivist. Transfer to place of deposit after administrative use is concluded	Press cuttings Media reports		Communications		Group Share - Communications Website	Common Practice
2. MANAGEMENT AND ADMINISTRATION	2.23	Marketing	The process of developing and promotion of local authorities campaigns and events	Permanent. Transfer to Archivist. Transfer to place of deposit after administrative use is concluded		Flyers, Posters	Communications, leisure, Community Partnerships and Environmental protection		Groupshare - departmental	Common Practice
2. MANAGEMENT AND ADMINISTRATION	2.24	Civic and Royal Events	The recording of ceremonial events and civic occasions	Permanent. Transfer to Archivist. Transfer to place of deposit after administrative use is concluded	Visitors' book Audio tapes Video tapes Photographs	Operation Bridge	Corporate and Committee		Groupshare	Common Practice
2. MANAGEMENT AND ADMINISTRATION	2.25	Civic and Royal Events	The process of organising a ceremonial event or civic occasions	Destroy 7 years after administrative use is concluded		Chairman Appointment , Civic Service	Committee		Groupshare - CommitteeDMU	Common Practice
2. MANAGEMENT AND ADMINISTRATION	2.26	Project Management Framework	The process of project management, plans, procedures and reporting	Destroy 5 years from closure	Performance Management Framework		Community Partnerships		Group Share - Project Management	Common Practice
2. MANAGEMENT AND ADMINISTRATION	2.27	Freedom of Information and Environmental Information requests	Logging and responding to FOI and EIR requests	Destroy 3 years after administrative use is concluded	Responses to requests		Corporate Services		FOI Officer's hard drive	Common Practice
2. MANAGEMENT AND ADMINISTRATION	2.28	Subject Access Request (DPA)	Logging and responding to Subject Access Requests	Destroy 2 years after response has been sent	Responses to requests		Corporate Services		FOI Officer's hard drive	Common Practice
3. CLIENT SERVICES	3.1	Case Management - Looked after children	Systems, which manage children, looked after by the local authority, in summary form	Permanent. Transfer to Archivist. Transfer to place of deposit after administrative use is concluded	Children's Home register	N/A Social Services				
3. CLIENT SERVICES	3.2	Case Management - Looked after children	Process involving individual case management of children looked after by the local authority This includes children and young people: 1. Adopted via the local authority 2. In children's home 3. Fostered by local authority 4. On custodianship orders	Destroy 75 years from 18th birthday	Young persons being looked after files Looked after children client files Residential care children's file Adoption files Privately fostered children's file Guardian CAFCASS files Guardian ad litem	N/A Social Services				

Service Area	Ref	Function	Function Description	Retention Action	Examples of Records	Other TRDC Examples	Department	Location (hard copy)	Location (Electronic)	Comments
3. CLIENT SERVICES	3.3	Case Management - Looked after children	5. On residence orders Children and young people subject to supervision orders	Destroy 21 years from DOB		N/A Social Services				
3. CLIENT SERVICES	3.4	Case Management - Looked after children	Process involved in checking the suitability of people to become adoptive parents or foster carers	Destroy 25 years from closure	Adoptive parent counselling files Approved adopters	N/A Social Services				
3. CLIENT SERVICES	3.5	Case Management - Looked after children	Process involving individual case management of families or adults who	Destroy 35 years after carer has ceased to foster	Foster carer files Supported lodging files	N/A Social Services				
3. CLIENT SERVICES	3.6	Child Protection	Process involving summary case management of children under the protection of local authority	Permanent. Transfer to Archivist. Transfer to place of deposit after administrative use is concluded	Child Protection Register	N/A Social Services				
3. CLIENT SERVICES	3.7	Child Protection	Process involving summary case management of adults convicted of Schedule 1 offences	Permanent. Transfer to Archivist. Transfer to place of deposit after administrative use is concluded	Schedule 1 offenders	N/A Social Services				
3. CLIENT SERVICES	3.8	Child Protection	Process involving individual case assessment, investigation, registration, and management of children involved in child protection (investigated, conferenced and registered / core assessment / investigated but not conferenced and registered)	Destroy 35 years from closure	Case files - conference minutes Case files - core assessment Case files - investigations Case files - registration	N/A Social Services				
3. CLIENT SERVICES	3.9	Child Protection	Process involving individual cases involving initial assessment and provision of advice in regards child protection	Destroy 5 years from closure	Child Protection files - initial assessment Child Protection files - advice only	N/A Social Services				
3. CLIENT SERVICES	3.10	Children's Services - General	Children in need (who have not been adopted or looked after and who have not been the subject of a child protection inquiry)	Destroy 10 years from closure		N/A Social Services				
3. CLIENT SERVICES	3.11	Children's Services - General	Process involving individual case management of services or support to unaccompanied minors (eg Asylum Seekers) if not "looked after"	Destroy 10 years from closure		N/A Social Services				
3. CLIENT SERVICES	3.12	Children's Services - General	Process involving individual case management of services or support to youth	Destroy 25 years from DOB. Or destroy 10 years from last contact	Youth Service client files Youth Justice	N/A Social Services				
3. CLIENT SERVICES	3.13	Special Educational Needs	Process involving assessing and providing individual support for children who have need of special education support	Destroy 35 years from closure	SEN files	N/A Social Services				
3. CLIENT SERVICES	3.14	Family Support	Process involving individual case management in the provision of support by the local authority to families	Destroy 7 years from file closure	Parenting skills Special education Attendance records Project files	N/A Social Services				
3. CLIENT SERVICES	3.15	Family Support	Process involved in assessing a family's suitability in the care of children	Destroy 25 years from DOB of youngest child		N/A Social Services				
3. CLIENT SERVICES	3.16	Adult and Elderly Case Files	Process involving summary case management of services or support to adults	Permanent. Transfer to Archivist. Transfer to place of deposit after administrative use is concluded		N/A Social Services				
3. CLIENT SERVICES	3.17	Adult and Elderly Case Files	Process involving in assessing and providing individual support for people with mental illness	Destroy 10 years after last contact	Mental Health files	N/A Social Services				
3. CLIENT SERVICES	3.18	Adult and Elderly Case Files	Process involving in assessing and providing individual support or services for all other people	Destroy 6 years after last contact	Day service provision Learning disability Physical disabilities Sensory disability Rehabilitation and discharge Communication support Drug and alcohol misuse Occupational therapy Home care	N/A Social Services				
3. CLIENT SERVICES	3.19	Admissions and Exclusions	Case files (including appeals)	Destroy 25 years from last action	Appeal files Exclusion files	N/A Social Services				
3. CLIENT SERVICES	3.20	Programme Management and Development	Process involved in development of services or programmes for children	Destroy 7 years from closure		N/A Social Services				
3. CLIENT SERVICES	3.21	Programme Management and Development	Process involved in provision of services or programmes to support the development of children	Destroy 25 years from closure	Attendance records Course reports	N/A Social Services				
3. CLIENT SERVICES	3.22	Programme Management and Development	Process involved in provision of a services or programmes to support the development of young persons	Destroy 15 years from closure		N/A Social Services				
3. CLIENT SERVICES	3.23	Programme Management and Development	Process involved in provision of services or programmes to adults	Destroy 7 years from closure		N/A Social Services				
3. CLIENT SERVICES	3.24	Residential Homes	Summary management systems that	Permanent. Transfer to Archivist.	Children's/adults home registers	N/A Social Services				

Service Area	Ref	Function	Function Description	Retention Action	Examples of Records	Other TRDC Examples	Department	Location (hard copy)	Location (Electronic)	Comments
			manage children/adults housed by the local authority	Transfer to place of deposit after administrative use is concluded	Admissions registers Discharge registers					
3. CLIENT SERVICES	3.25	Residential Homes	Documents relating to the operation of the establishment	Destroy 25 years from closure of file	Diaries Rotas Daily logs Secure unit records	N/A Social Services				
3. CLIENT SERVICES	3.26	Housing Provision	The registration of individuals housing applications	Permanent. Transfer to Archivist.	Council housing register	See 3.29				
3. CLIENT SERVICES	3.27	Housing Provision	The process for applying for council housing (Unsuccessful applications only, successful applications will generally be placed on the tenancy file)	Destroy 7 years after closure	Council housing application forms and supporting material Application for transfer of tenancy and supporting material	See 3.29				
3. CLIENT SERVICES	3.28	Housing Provision	The process for managing the tenancy of an individual tenant	Destroy 12 years after termination of tenancy	Correspondence re tenancy Tenancy files Council housing application forms and supporting material Application for transfer of tenancy and supporting papers Application for emergency housing or referral from another agency		Housing Services /Property services		Three Rivers group share (CBL)	Common Practice. These may need to be kept for a longer period of time in order to prove that the tenant was actually housed properly by the authority
3. CLIENT SERVICES	3.29	Housing Provision	The registration of individuals housing applications	Destroy 6 years after application cancelled or rehoused.		Council housing register (waiting list), social housing properties let through the housing register	Housing Services	Physical file stored with Housing Services, historic applications only	Locata (web based bespoke system), Three Rivers group share (Housing Needs)	Common Practice
3. CLIENT SERVICES	3.30	Housing Provision	The provision of the Council's statutory homeless duties	Destroy 6 years after statutory duty(s) is discharged or last contact with applicant, which ever is the later		Homeless applications to the Council, SLAs with temporary accommodation providers, SLAs with other service providers	Housing Services	Physical file stored with Housing Services	Locata (web based bespoke system), Three Rivers group share (Housing Needs)	Common Practice
3. CLIENT SERVICES	3.31	Housing Provision	The provision of the Council's housing advice and assistance service	Destroy 6 years after last contact with customer		Housing advice records	Housing Services	Physical file stored with Housing Services	Locata (web based bespoke system), Three Rivers group share (Housing Needs)	Common Practice
3. CLIENT SERVICES	3.32	Housing Provision	The operation of the Council's private rented sector scheme (Rent Deposit Guarantee Scheme)	Destroy 6 years after a property leaves the PRS scheme		Landlord details, property details (inc. building insurance, safety certificates, land registry check), tenant details, assured shorthold tenancies, landlord and tenant agreements with TRDC	Housing Services	Physical file stored with Housing Services	Locata (web based bespoke system), Three Rivers group share (Housing Needs)	Common Practice
3. CLIENT SERVICES	3.33	Housing Provision	Multi Agency Meetings discussing highly sensitive and confidential data in order to ensure the prevention and detection of crime, prevention of homelessness and for safeguarding	Destroy after 6 years		MAPPA, MARAC, ASB Forum, Domestic Violence Forum, PEP, JHP Liaison and Sterring Group meetings with HCC,	Housing Services	Physical file stored with Housing Services	Locata (web based bespoke system), Three Rivers group share (Housing Needs)	Common Practice
3. CLIENT SERVICES	3.34	Housing Provision	The governance and operational management on the Herts Choice Homes Consortium	<i>Unknown - contract is still current</i>		Individual contracts between software provider (currently Locata Housing Services) and Hertsmere BC, St Albans DC, TRDC, WBC and WelHat BC, SLAs between Herts Choice Homes and social housing providers, governance documents, tender documents.	Housing Services	Physical file stored with Housing Services	Three Rivers group share (CBL)	Common Practice
3. CLIENT SERVICES	3.35	DFG provision	processing applications and providing funding for adaptations	Destroy after 10 years as per statutory conditions		Financial, grant approval and application	Housing Services	Physical file stored with Housing Services	Uniform (Hosted system with Idox) some historic on Northgate M3 - being	Common Practice
3. CLIENT SERVICES	3.36	HMO Licencing	licencing of Houses in Multiple Occupation	As long as licence is valid - reviewed at maximum 5yearly		Application form and licence	Housing Services	Physical file stored with Housing Services	Uniform (Hosted system with Idox) some historic on Northgate M3 - being	Common Practice
3. CLIENT SERVICES	3.37	Mobile Home sites	Site licences for mobile home sites	Annual inspection - reviewed on expiry of licence (some limited others)		Application form and licence	Housing Services	Physical file stored with Housing Services	Uniform (Hosted system with Idox) some historic on Northgate M3 - being	Common Practice
3. CLIENT SERVICES	3.38	Residential Complaints	Complaints about noise, light nuisances as well as Housing complaints	6 year retention		reporter and subject details contact information and details of investigation	Housing Services	None	Uniform (Hosted system with Idox) some historic on Northgate M3 - being	Common Practice
4. LEGAL AND CONTRACTS	4.1	Litigation	The process of managing, undertaking or defending for or against litigation on behalf of the local authority	Destroy 7 years after last action. Major litigation - offer to Archivist for review	Criminal case file Childcare case file Civil case file Correspondence	Criminal case file Civil case file Correspondence	Legal	Physical file stored in Legal		Common Practice
4. LEGAL AND CONTRACTS	4.2	Advice	The process of providing legal advice on a point of law.	Destroy 3 years after last action (unless a major precedent, then offer to Archivist for review)	Case File	Case file, Correspondance	Legal	Physical file stored in Legal	Groupshare	Common Practice
4. LEGAL AND CONTRACTS	4.3	Agreements	Process of agreeing terms between organisations Note : this does not include contractual agreements	Destroy 6 years after agreement expires or is terminated	Concordat		Various	Departmental	Groupshare	Common Practice. Depends on value of agreement (mainly to do with agreements between public bodies, not in regard to contracts)
4. LEGAL AND CONTRACTS	4.4	Conveyance	The process of changing ownership of land or property	Never to be destroyed	Conveyancing files			Legal strong room	Groupshare	Common Practice
4. LEGAL AND CONTRACTS	4.5	Contracts and Tendering	Pre Contract Advice - the process of calling for expressions of interest	Destroy 2 years after contract let or not proceeded with	Expressions of interest		Various	Departmental	Groupshare	Common Practice
4. LEGAL AND CONTRACTS	4.6	Contracts and Tendering	Specification and Contract Development - the process involved in the development and specification of a contract	Ordinary Contracts - destroy 6 years after the terms of contract have expired. Contracts Under Seal - destroy 12 years after terms of contract have expired	Tender Specification. Note: for project files containing drafts leading to a final version these can be destroyed		Various	Departmental	Groupshare	Statutory

Service Area	Ref	Function	Function Description	Retention Action	Examples of Records	Other TRDC Examples	Department	Location (hard copy)	Location (Electronic)	Comments
4. LEGAL AND CONTRACTS	4.7	Contracts and Tendering	Tender Issuing and Return - the process involved in the issuing and return of a	Destroy 1 year after start of contract	Opening notice Tender envelope		Various	Departmental	Groupshare Delta e-sourcing portal	Common Practice
4. LEGAL AND CONTRACTS	4.8	Contracts and Tendering	Evaluation of Tender	Ordinary Contracts - destroy 6 years after the terms of contract have expired. Contracts Under Seal - destroy 12 years after terms of contract have expired	Evaluation criteria		Various	Departmental	Groupshare	Statutory
4. LEGAL AND CONTRACTS	4.9	Contracts and Tendering	Successful tender document	Ordinary Contracts - destroy 6 years after the terms of contract have expired. Contracts Under Seal - destroy 12 years after terms of contract have expired	Tender documents / Quotations		Various	Departmental	Groupshare	Statutory
4. LEGAL AND CONTRACTS	4.10	Contracts and Tendering	Unsuccessful tender documents	Destroy 1 year after start of contract	Tender documents / Quotations		Various	Departmental	Groupshare	Common Practice
4. LEGAL AND CONTRACTS	4.11	Contracts and Tendering	Post Tender Negotiation - the process in negotiation of a contract after a preferred	Destroy 1 year after the terms of contract have expired	Clarification of contract Post tender negotiation minutes		Various	Departmental	Groupshare	Common Practice
4. LEGAL AND CONTRACTS	4.12	Contracts and Tendering	Successful tender document	Ordinary Contracts - destroy 6 years after the terms of contract have expired. Contracts Under Seal - destroy 12 years after terms of contract have expired	Signed contract		Legal	Legal strong room	Groupshare	Statutory
4. LEGAL AND CONTRACTS	4.13	Contracts and Tendering	Contract Management - contract operation and monitoring	Destroy 2 years after the terms of contract have expired	Service Level Agreements Compliance reports Performance reports		Various	Departmental	Groupshare	Common Practice
4. LEGAL AND CONTRACTS	4.14	Contracts and Tendering	Management and amendment of contract	Ordinary Contracts - destroy 6 years after the terms of contract have expired. Contracts Under Seal - destroy 12 years after terms of contract have expired	Minutes and papers of meetings Changes to requirements Variation forms Extension of contract Complaints Disputes on payments		Various	Departmental	Groupshare	Statutory
4. LEGAL AND CONTRACTS	4.15	Contracts and Tendering	Tenancy Agreements - the process of awarding tenancies in welfare housing	Ordinary Tenancy - destroy 6 years after the terms of the agreement have expired. Tenancy Under Seal - destroy 12 years after terms of the agreement have expired	Signed Tenancy Agreements Sealed Tenancy Agreements	N/A				Statutory
4. LEGAL AND CONTRACTS	4.16	Common Law advice	Mainly to do with agreements between public bodies, not in regard to contracts	Destroy after 6 years			Legal	Physical file stored in Legal		Common Practice. Depends on value of agreement (mainly to do with
5. STATUTORY SERVICES	5.1	Registrars of Births, Deaths and Marriages	Registration - process of the summary registration of a birth, death or marriage	Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded	Deaths register Births Register Marriage register	Not Applicable HCC				
5. STATUTORY SERVICES	5.2	Registrars of Births, Deaths and Marriages	Registration - process of certification of the registration of a birth, death or marriage	Destroy 7 years after last action	Death certificate Birth certificate Marriage certificate	Not Applicable HCC				
5. STATUTORY SERVICES	5.3	Registrars of Births, Deaths and Marriages	Marriage Services - process of conducting a marriage service	Destroy 3 years after last action		Not Applicable HCC				
5. STATUTORY SERVICES	5.4	Registrars of Births, Deaths and Marriages	Notices - process of notification in relation to birth, death or marriage	Destroy 2 years after last action	Wedding banns Notice of marriage	Not Applicable HCC				
5. STATUTORY SERVICES	5.5	Registrars of Births, Deaths and Marriages	Coroners - summary registration of reported deaths	Permanent. Offer to Archivist. Transfer to Place of Deposit after	Reported deaths register	Not Applicable HCC				
5. STATUTORY SERVICES	5.6	Registrars of Births, Deaths and Marriages	Coroners - the process and actions of inquiring into deaths which do not proceed to an inquest	Destroy 15 years after last action	Coroner's case files	Not Applicable HCC				
5. STATUTORY SERVICES	5.7	Registrars of Births, Deaths and Marriages	Coroners - the process and actions of inquiring into deaths which proceed to an inquest	Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded	Coroner's case files	Not Applicable HCC				
5. STATUTORY SERVICES	5.8	Registrars of Births, Deaths and Marriages	Treasure Trove - the process and actions of Treasure inquests	Destroy 2 years after last action		Not Applicable HCC				
6. HUMAN RESOURCES	6.1	Personnel administration	Summary management systems that allow the monitoring and management of employees in summary form. Note: the summary information that this record class attempts to capture is: Name, DOB, Date of appointment, work history details, position/designation, titles and dates held	Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded	Employment Register - Permanent Staff Employment Register - Temporary Staff Employment Register - Casual Staff Registers of personnel files Personal History cards Superannuation history card Salary master record		All held at Watford BC			
6. HUMAN RESOURCES	6.2	Personnel administration	The process of administering employees to ensure that entitlements & obligations are in accordance with agreed employment requirements (records containing superannuation information)	Destroy 6 years from date of last pension payment	Medical clearance Letter of appointment Letter of acceptance Details of assigned duties Probation reports Medical examinations Personal particulars Educational qualifications Declarations of pecuniary interests Secrecy undertakings Employment contracts		All held at Watford BC			
6. HUMAN RESOURCES	6.3	Personnel administration	Records relating to staff working with children	Termination + 25 years			All held at Watford BC			
6. HUMAN RESOURCES	6.4	Personnel administration	All other records	Termination + 6 years			All held at Watford BC			
6. HUMAN RESOURCES	6.5	Employee and industrial relations	Identification and development of significant directions concerning industrial	Permanent. Offer to Archivist. Transfer to Place of Deposit after	Generic agreements and awards Negotiations					

Service Area	Ref	Function	Function Description	Retention Action	Examples of Records	Other TRDC Examples	Department	Location (hard copy)	Location (Electronic)	Comments
			matters	administrative use is concluded	Disputes Claims lodged					
6. HUMAN RESOURCES	6.6	Employee and industrial relations	Liaison processes of minor and routine industrial matters	Destroy 2 years after administrative use is concluded	Daily industrial relations management		All held at Watford BC			
6. HUMAN RESOURCES	6.7	Employee and industrial relations	Processing of disciplinary and grievances investigations where proved	Oral Warning – 6 months. Written Warning - 1 year. Final Warning - 18	Disciplinary		All held at Watford BC			
6. HUMAN RESOURCES	6.8	Employee and industrial relations	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		All held at Watford BC			
6. HUMAN RESOURCES	6.9	Equal Opportunities	The process of investigation and reporting on specific cases to ensure that entitlements & obligations are in accordance with agreed Equal Employment Opportunities guidelines policies	Destroy 5 years after action completed			All held at Watford BC			
6. HUMAN RESOURCES	6.10	Occupational Health	The process of checking and ensuring the health of staff	Destroy 75 years after DOB	Health questionnaire Medical clearance Adjustment to work place Restrictions Recommendations		All held at Watford BC			
6. HUMAN RESOURCES	6.11	Recruitment	The selection of an individual for an established position	Destroy 1 year after recruitment has been finalised (for letter of appointment for successful candidate, use employment conditions)	Advertisements Applications Referee reports Interview reports Unsuccessful applicants		All held at Watford BC			
6. HUMAN RESOURCES	6.12	Staff Monitoring	Performance	Destroy 5 years after action completed	Probation reports Performance plans		All held at Watford BC			
6. HUMAN RESOURCES	6.13	Staff Monitoring	Process of monitoring staff leave and attendance	Destroy 2 years after action completed	Sick leave Jury service Study leave Special and personal leave Attendance books Flexitime sheets Leave applications Clock on/off cards Annual leave		All held at Watford BC			
6. HUMAN RESOURCES	6.14	Staff Retention	Financial reward	Destroy 7 years after action completed			All held at Watford BC			
6. HUMAN RESOURCES	6.15	Staff Retention	Other strategy	Destroy 3 years after action completed			All held at Watford BC			
6. HUMAN RESOURCES	6.16	Termination	The process of termination of staff through voluntary redundancy, dismissal and retirement	Destroy 6 years after termination. If a pension is paid, records should be destroyed 6 years after last payment of pension	Resignation Redundancy (Section 188) Dismissal Death Retirement		All held at Watford BC			
6. HUMAN RESOURCES	6.17	Training and Development	Routine staff training processes (not occupational health and safety or children related)	Destroy 2 years after action completed	Course individual staff assessment		All held at Watford BC			
6. HUMAN RESOURCES	6.18	Training and Development	Training (concerning children)	Destroy 35 years after training completed, or last entry	Course individual staff assessment Training register		All held at Watford BC			
6. HUMAN RESOURCES	6.19	Training and Development	Training (occupational health and safety training)	Destroy 50 years after training completed. Individual course assessment records should be destroyed once the training has been renewed every 3 years	OH&S training register		All held at Watford BC			
6. HUMAN RESOURCES	6.20	Training and Development	Training (materials)	Destroy 1 year after course is superseded			All held at Watford BC			
6. HUMAN RESOURCES	6.21	Training and Development	Training (proof of completion)	Destroy 7 years after action completed	Certificates Awards Exam results		All held at Watford BC			
6. HUMAN RESOURCES	6.22	Appointment of Statutory Officers	Summary management systems that allow the monitoring & management of statutory officers in summary form	Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded	Magistrates register		All held at Watford BC			
6. HUMAN RESOURCES	6.23	Appointment of Statutory Officers	The process of administering employees to ensure that entitlements & obligations are in accordance with agreed employment requirements	Destroy 6 years after departure from employment			All held at Watford BC			
6. HUMAN RESOURCES	6.24	Appointment of Statutory Officers	The appointment of an individual for a statutory position	Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded	Appointment Files - Shrievalty Appointment Files - Magistrates Appointment Files - Lord Lieutenant Appointment Files - Tax Commissioners		All held at Watford BC			
6. HUMAN RESOURCES	6.25	Destroy 7 years after the end of the financial year in which the records were created	The process of selection of an individual for an statutory position	Destroy 2 years after date of appointment	Vacancies and applications records Interview notes Prospective staff records Register of applicants Unsuccessful applications records		All held at Watford BC			
7. FINANCIAL MANAGEMENT	7.1	Accounts & Audit	The process that consolidates financial transactions on an annual basis for corporate reporting purposes	Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded	Consolidated annual reports Consolidated financial statements Statement of financial position Operating statements Account Structures General ledger		Finance - Technical Finance - Technical Finance - Technical Finance - Technical Finance - Technical Finance - Technical	Copy of each years in Void Copy of each years in Void Copy of each years in Void Copy of each years in Void	Accountancy Harddrive Accountancy Harddrive Accountancy Harddrive Accountancy Harddrive eFin/CP/BM2 eFin/CP/BM2	Common Practice

Service Area	Ref	Function	Function Description	Retention Action	Examples of Records	Other TRDC Examples	Department	Location (hard copy)	Location (Electronic)	Comments
7. FINANCIAL MANAGEMENT	7.2	Accounts & Audit	The process that supports and consolidates financial transactions on a periodic (less than annual) basis, superseding those from the previous period. Does not include journals and subsidiary ledgers and cash books	Destroy when administrative use is concluded	Consolidated monthly & quarterly reports Consolidated monthly and quarterly financial statements Working papers for the preparation of the above Monthly accrual statements Cashflow statements Creditor listings and reports Debtor listings and reports		Finance Finance Finance Finance Finance Revs & Bens	Plans to do this Plans to do this Plans to do this Plans to do this Plans to do this	F2Fin Admin	Common Practice
7. FINANCIAL MANAGEMENT	7.3	Financial Transactions Management	Management of the approvals process for purchase, including investigations	Destroy 7 years after the end of the financial year in which the records were created	Appointments & delegations Audit investigations Arrangements for the provisions of goods and/or services		Finance Finance Finance	Legal	Contract Register	Statutory
7. FINANCIAL MANAGEMENT	7.4	Financial Transactions Management	Identification of the receipt, expenditure and write offs of public monies	Destroy 6 years after the conclusion of the financial transaction that the record supports	Allowances Work Orders Invoices Credit card statements Cash books Receipts Cheque counterfoils Bank statements Subsidiary ledgers (annual) Journals (annual) Vouchers		Finance Finance Finance Finance Finance Finance Finance Finance Finance Finance	Finance Department (2 Weeks) Basement (Void) Basement (Void) Finance Department Final Accounts Void/Finance Finance (2 Weeks)	DbArchive Barclays/Lloyds Online eFin/Accountancy Drive Commercial Banking Online eFin/BO/BM2 eFin/CP/BM2	Statutory. This period may be reduced with the agreement of Customs and Excise and/or the Inland Revenue
7. FINANCIAL MANAGEMENT	7.5	Financial Transactions Management	Process involving the provision and support for individuals using public transportation	Destroy 6 years after the conclusion of the financial transaction that the record supports	Applications Card issue Rail warrants		Finance Finance Finance	VOID VOID VOID		Statutory
7. FINANCIAL MANAGEMENT	7.6	Financial Transactions Management	Processes that balance & reconcile financial accounts	Destroy 2 years after administrative use is concluded	Reconciliation Summaries of accounts		Finance Finance	VOID VOID	Accountancy Harddrive Accountancy Harddrive	Common Practice
7. FINANCIAL MANAGEMENT	7.7	Financial Transactions Management	Taxation records	Destroy 5 years after the end of the financial year in which the records were created	Taxation records Motor vehicle logs Fringe benefits tax records Group certificates		Finance Finance Finance Finance	VOID VOID VOID VOID	eFin/Accountancy Drive eFin/Accountancy Drive eFin/Accountancy Drive eFin/Accountancy Drive	Statutory
7. FINANCIAL MANAGEMENT	7.8	Financial Transactions Management	Processes involved in the collection of National Insurance Number	Destroy 2 years after the employee ceases employment	Notification & input records		HR held at Watford BC			
7. FINANCIAL MANAGEMENT	7.9	Payroll	Accountable processes relating to payment of employees	Destroy 7 years after the conclusion of the financial transaction that the record supports	Authority sheets payroll deduction authorities Payroll disbursement Employee pay records Employee taxation records		HR held at Watford BC			
7. FINANCIAL MANAGEMENT	7.10	Payroll	Non-accountable processes relating to employees	Destroy after administrative use is concluded	Summary employee pay reports		Finance		eFin	Common Practice
7. FINANCIAL MANAGEMENT	7.11	Budgets & Estimates	The process of finalising local authorities' annual budget	Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded	Annual budget		Finance		eFin	Common Practice
7. FINANCIAL MANAGEMENT	7.12	Budgets & Estimates	The process of developing local authorities' annual budget	Destroy 2 years after annual budget adopted by local authorities	Draft budgets Departmental budgets Draft estimates		Finance Finance Finance	Finance Department/VOID Finance Department/VOID Finance Department/VOID	Accountancy Harddrive Accountancy Harddrive Accountancy Harddrive	Common Practice
7. FINANCIAL MANAGEMENT	7.13	Budgets & Estimates	The process of reporting which examines the budget in relation to actual revenue and expenditure	Destroy after next year's annual budget has been adopted by Local Authorities	Quarterly statements		Finance	Finance Department/VOID	Accountancy Harddrive	Common Practice
7. FINANCIAL MANAGEMENT	7.14	Loans	The activity of borrowing money to enable a local authority to perform its functions and exercise its powers	Destroy 7 years after the loan has been repaid	Loan files		Finance	Finance Department	Logotech	Statutory
7. FINANCIAL MANAGEMENT	7.15	Loans	Summary management of loans	Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded	Loan registers		Finance	Finance Department	Accountancy Harddrive	Common Practice
7. FINANCIAL MANAGEMENT	7.16	Housing	Mortgages	Last payment + 6 years if signed. Last payment + 12 years if sealed	Mortgage agreements Correspondence		Finance Finance	VOID VOID	Accountancy Harddrive Accountancy Harddrive	Statutory
7. FINANCIAL MANAGEMENT	7.17	Housing	Right to Buy	Destroy 12 years after sale of house	Sale documents Agreement concerning sale	NOT APPLICABLE				
7. FINANCIAL MANAGEMENT	7.18	Housing	Rent payments	Destroy 7 years after the end of the financial year in which created	Rent books Correspondence concerning payments Requests for payment				Academy Housing System Academy Housing System eFin	Statutory
7. FINANCIAL MANAGEMENT	7.19	Housing	Home Improvement Grants	Destroy 6 years after last payment for grants under £50,000. For grants over £50,000 destroy 12 years after last	Agreement to pay loan Details of payments Correspondence relating to loan	See 3.35				Statutory
7. FINANCIAL MANAGEMENT	7.20	Council Tax Valuation	The valuation of rateable land within a municipal district for the purpose of the making of the rate	Valuation lists - Permanent. Offer to Archivist for review. Destroy 10 years after the year in which the valuation was made	Valuation lists Correspondence Objections Reports		Revenues and Benefits			Common Practice
7. FINANCIAL MANAGEMENT	7.21	Property History	The recording of information for rateable properties identifying the person or company rated, including details of the value of the property. Note: Records containing accounting information primarily, and not being a source of property history, should be disposed of according to the appropriate record class within the Accounts & Audit function	Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded	Rate books Rate cards Register of Rateable Properties		Revenues and Benefits		Academy HBCT Academy HBCT Academy HBCT	Common Practice
7. FINANCIAL MANAGEMENT	7.22	Rates and Local Authorities Tax Correspondence	The activity of corresponding with ratepayers in relation to valuations, rates	Destroy 7 years after last action. Some system files are not able to be deleted	Notices Objections		Revenues and Benefits		Anite	Common Practice

Service Area	Ref	Function	Function Description	Retention Action	Examples of Records	Other TRDC Examples	Department	Location (hard copy)	Location (Electronic)	Comments
			and charges, objections, submissions, appeals, rate remissions and other rates related matters	from the system	Applications Correspondence Rate Certificates Notices of acquisition and disposition Rate property files					
7. FINANCIAL MANAGEMENT	7.23	Prosecution Files	The activity of processing fraud prosecutions	Destroy 6 years plus current . Some system files are not able to be deleted from the system	All prosecution documentation and evidence including unused material, witness statements, MG forms, PNC records, court documents, interview under caution disks and legal advice.		Fraud	Fraud Office	Incase	Common Practice
7. FINANCIAL MANAGEMENT	7.24	Administrative penalties and cautions	The activity of processing fraud penalties and cautions	Destroy 6 years plus current. Some system files are not able to be deleted from the system	All evidence relating to the financial penalty and or caution that might include witness statements, MG forms, PNC records, interview under caution records and legal advice		Fraud	Fraud Office	Incase	Common Practice
7. FINANCIAL MANAGEMENT	7.25	Non-fraud cases		Destroy 2 years plus current paper files 6 years on Case Management system	Any file and its contents where the matter has been formally closed and a decision has been made to take no further action.		Fraud	Fraud Office	Incase	Common Practice
7. FINANCIAL MANAGEMENT	7.26	Data Protection Act intelligence requests for information	The activity of processing requests for information under the Data Protection Act (Section 29)	Destroy 2 years plus current	Requests received for information under Data Protection Act		Fraud		E-Mail	Common Practice
7. FINANCIAL MANAGEMENT	7.27	National Fraud Initiative	The activity of electronic matching of records	See 7.23, 7.24, 7.25	Electronic matching of records		Fraud	Fraud Office	Incase / Web	Common Practice
7. FINANCIAL MANAGEMENT	7.28	Ripa – Communication and surveillance applications.	The activity of undertaking RIPA investigations	Destroy 6 years plus current	The application, any review and magistrates court approval.		Fraud	Fraud Office	Incase / Web	Common Practice
7. FINANCIAL MANAGEMENT	7.29	DWP Local authority input documents	The activity of processing requests for information from DWP	Destroy 2 years plus current	Requests from DWP to provide information		Fraud	Fraud Office	Incase / Web / E-Mail	Common Practice
7. FINANCIAL MANAGEMENT	7.30	CCTV collected	The activity of processing CCTV footage	Destroy as soon as not needed. Potentially highly intrusive. Disproportionate to retain if not relevant or needed	CCTV collected but not used as part of an investigation in evidence.		Fraud		Incase	Common Practice
7. FINANCIAL MANAGEMENT	7.31	Notes books	The activity of recording information in note books	Destroy 6 years plus current	Officer's note books		Fraud	Fraud Office		Limitations Act
7. FINANCIAL MANAGEMENT	7.32	Summary Assets Management (see Property Management for real property assets and Transport Management for vehicle assets)			See section 8	See section 8				
7. FINANCIAL MANAGEMENT	7.33	Summary Assets Management	Summary management reporting on the overall assets of the local authorities	Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded	Schedules of acquisitions Consolidated current asset reports Annual reports Summary of current assets Asset registers	See section 8				
7. FINANCIAL MANAGEMENT	7.34	Asset Monitoring and Maintenance	Management systems that allow the monitoring & management of assets in summary form	Destroy 7 years after the conclusion of the financial transaction that the record supports	Subsidiary asset registers	See section 8				
7. FINANCIAL MANAGEMENT	7.35	Asset Monitoring and Maintenance	Process of reporting and reviewing assets status	Destroy 2 years after administrative use is concluded	Routine returns and reports on asset status Inventories Stocktaking Surveys of usage Acquisition and disposal reports and proposals	See section 8				
7. FINANCIAL MANAGEMENT	7.36	Asset Monitoring and Maintenance	The process of maintaining assets	Destroy 7 years after last action	Garden maintenance Cleaning Painting	See section 8				
7. FINANCIAL MANAGEMENT	7.37	Asset Monitoring and Maintenance	The process of maintaining plant and equipment	Destroy 7 years after sale or disposal of asset	Service records Plant files	See section 8				
7. FINANCIAL MANAGEMENT	7.38	Asset Acquisition and Disposal	Management of the acquisition (by financial lease or purchase) and disposal (by sale or write off) process for assets	Destroy 6 years , if under £50,000 or 12 years if over £50,000, after all obligations/entitlements are concluded	Legal documents relating to the purchase/sale Particulars of sale documents Board of survey Leases Applications for leases, licences and rental revision Tender documents Conditions of contracts Certificates of approval	See section 8				
7. FINANCIAL MANAGEMENT	7.39	Insurance	The activities involved in maintaining the insurance	Keep Indefinitely		Renewal Documents Tender Documents Claims History	Finance	VOID/Finance VOID/Finance VOID/Finance	Accountancy Drive Accountancy Drive Accountancy Drive	Statutory
7. FINANCIAL MANAGEMENT	7.40	Treasury	Recording the Councils daily Financial Position and Cash Flow Forecast	7 Years		Treasury Documents	Finance	VOID/Finance	Logotech	Statutory
7. FINANCIAL MANAGEMENT	7.41	BACS	Records of All Bacs transactions made by the council	7 Years		Submission Summaries BACS Files	Finance Finance		Nightflight Harddrive Academy/eFin Servers	Statutory Statutory

Service Area	Ref	Function	Function Description	Retention Action	Examples of Records	Other TRDC Examples	Department	Location (hard copy)	Location (Electronic)	Comments
7. FINANCIAL MANAGEMENT	7.42	Income	The coding of all items on the councils bank statement	7 Years		Financial Transactions	Finance		AIM IMDB/AXIS Enquiry	Statutory
						Remittances Petty Cash Reimbursement	Finance Finance	Finance (2 Weeks) Finance	Accountancy Drive Accountancy Drive	Statutory Statutory
7. FINANCIAL MANAGEMENT	7.43	Bank Reconciliation	The Reconciliation between the cash book and bank	7 years		Bank Reconciliation	Finance	VOID/Finance	Accountancy Drive	Statutory
7. FINANCIAL MANAGEMENT	7.44	Lease Cars	Documents relating to lease car arrangements	7 Years		Contracts	Finance	Finance		Statutory
7. FINANCIAL MANAGEMENT	7.45	Journals	Documents relating to authorisation of Journals	7 Years		Journal Authorisation form	Finance	Finance	BM2/eFin/CP	Statutory
7. FINANCIAL MANAGEMENT	7.46	Beat the Killer Cold	Documents relating to Beat the Killer Cold (The Winter Flu)	7 Years		Bank Statements Cheque Stubs Authorisation Forms	Finance Finance Finance	Finance Finance Finance		Statutory Statutory Statutory
7. FINANCIAL MANAGEMENT	7.47	User Authorisation	Documents relating to Finance System users and their authority levels	The lifespan of the Finance system		New User Forms Leaver Forms	Finance Finance	Finance Finance	FMS Drive	Statutory Statutory
7. FINANCIAL MANAGEMENT	7.48	Supplier Details	Documents relating to Finance System suppliers and their bank details	The lifespan of the Finance system		Change of Bank Details form	Finance	Finance	FMS Drive	Statutory
7. FINANCIAL MANAGEMENT	7.49	Processing of partnership funding	Management of the approvals process for purchase, and grant funding from funds held on behalf of different partnership	Destroy 7 years after the end of the financial year in which the records were created		LSP LAA funding. Joint LSP partner funding of Adults with complex needs project. Joint funding of Community	Community Partnerships		Group Share - CIU	Statutory
7. FINANCIAL MANAGEMENT	7.50	Grants - Committee Decisions	Management of approvals process for purchase, and identification of receipt and expenditure of public money	Destroy 7 years after the end of the financial year in which the records were created	Meeting agendas & minutes, grant payments, grant agreements, officer scores and recommendations		Community Partnerships		Group Share - CIU	Statutory
7. FINANCIAL MANAGEMENT	7.51	Grants - Officer Decisions	Management of approvals process for purchase, and identification of receipt and expenditure of public money	Destroy 7 years after the end of the financial year in which the records were created	Meeting agendas & minutes, grant payments, grant agreements, officer scores and recommendations		Community Partnerships		Group Share - CIU	Statutory
7. FINANCIAL MANAGEMENT	7.52	Funding agreements	Management of the approvals process for purchase, and grant funding from funds held on behalf of different partnership	Destroy 7 years after the end of the financial year in which the records were created	Funding bids, and related correspondence e.g. with Public Health		Community Partnerships	Individual transactions on Budget Monitor II	Group Share - CIU	Common Practice
8. PROPERTY AND LAND MANAGEMENT	8.1	Property and Land Management	Reports to management on overall property of the local authority	Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded	Consolidated property & buildings annual reports Summary of leased property Summary of local authority's owned property Site register Register of leases	Management Board notes, Committee reports	Property Services	Files in Property	Group Share - Asset Management	Common Practice
8. PROPERTY AND LAND MANAGEMENT	8.2	Property Acquisition and Disposal (see also Conveyance)	Management of the acquisition (by financial lease or purchase) process for real property (see also 21.1)	Retain for life of property or building plus 12 years. Offer material re major/significant property to Archivist for review	Plans		Property Services	Files in property	Idox and Group Share - Asset Management	Common Practice
8. PROPERTY AND LAND MANAGEMENT	8.3	Property Acquisition and Disposal (see also Conveyance)	Management of the disposal (by sale or write off) process for real property	Destroy 15 years after all obligations/entitlements are concluded. Offer material re major/significant property to Archivist for review	Legal documents relating to the sale Particulars of sale documents Board of survey Tender documents Conditions of contracts		Property Services	Files in property	Idox and Group Share - Asset Management	Common Practice
8. PROPERTY AND LAND MANAGEMENT	8.4	Property Development and Renovation	The process of managing and undertaking renovations and development of property				Property Services	Files in property	Idox and Group Share - Asset Management	
8. PROPERTY AND LAND MANAGEMENT	8.5	Property Development and Renovation	Management - buildings and estates of "special interest"	Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded	Project specifications Plans Installation manuals Certificates of approval		Property Services	Files in property	Idox and Group Share - Asset Management	Common Practice
8. PROPERTY AND LAND MANAGEMENT	8.6	Property Development and Renovation	Management - all other buildings and estates	Retain for life of property or building	Project specifications Plans Installation manuals Certificates of approval		Property Services	Files in property	Idox and Group Share - Asset Management	Common Practice. For asbestos see health and safety under General Public Services
8. PROPERTY AND LAND MANAGEMENT	8.7	Property Development and Renovation	The action process involved in the development and renovation of property	Destroy 7 years after the conclusion of the transaction that the record supports	Works orders Tender documents Conditions of contracts		Property Services	Files in property	Idox and Group Share - Asset Management	Common Practice
8. PROPERTY AND LAND MANAGEMENT	8.8	Leasing and Occupancy	The process of managing leased property	Destroy 15 years after the expiry of the lease	Lease agreements Rental expenditure authorities Valuation queries Applications for leases, licences & rental vision		Property Services	Property Services	Idox and Group Share - Asset Management	Common Practice
8. PROPERTY AND LAND MANAGEMENT	8.9	Leasing and Occupancy	The process of managing the occupancy of property	Destroy 7 years after the conclusion of the transaction that the record supports	Requests for works, cleaning, etc		Property Services	Property Services	Idox and Group Share - Asset Management	Common Practice
8. PROPERTY AND LAND MANAGEMENT	8.10	Housing Provision	The process of managing local authority welfare housing estates	Destroy 4 years after last action	Stock monitoring records	NOT APPLICABLE				
8. PROPERTY AND LAND MANAGEMENT	8.11	Systems Management	The internal process to develop or extend the capabilities of a system used to support the activities of the local authority	Retain for life of system then destroy			Property Services	Property Services	Idox and Group Share - Asset Management	Common Practice

Service Area	Ref	Function	Function Description	Retention Action	Examples of Records	Other TRDC Examples	Department	Location (hard copy)	Location (Electronic)	Comments
8. PROPERTY AND LAND MANAGEMENT	8.12	Systems Management	The process to implement a system used to support the activities of the local authority	Destroy 7 years after last action	Implementation plan		Property Services	Property Services	Idox and Group Share - Asset Management	Common Practice
8. PROPERTY AND LAND MANAGEMENT	8.13	Systems Management	The process to support and administer a system used to support the activities of the local authority	Destroy 5 years after last action	Implementation plan		Property Services	Property Services	Idox and Group Share - Asset Management	Common Practice
8. PROPERTY AND LAND MANAGEMENT	8.14	Transport Management	The process of acquisition and disposal of vehicles through lease or purchase	Destroy 7 years after the disposal of the vehicle	Leases Contracts Quotes Approvals Fleet authorisation numbers					Common Practice
8. PROPERTY AND LAND MANAGEMENT	8.15	Transport Management	The process of managing allocation and maintenance of vehicles	Destroy 7 years after the disposal of the vehicle	Approvals as drivers Allocations & authorisations for vehicles Maintenance					Common Practice
8. PROPERTY AND LAND MANAGEMENT	8.16	Transport Management	The process of recording vehicle usage	Destroy 3 years after the disposal of the vehicle	Vehicle usage reports					Common Practice
8. PROPERTY AND LAND MANAGEMENT	8.17	Transport Management	The process of recording drivers usage	Destroy 7 years after closure	Vehicle log book					Common Practice
8. PROPERTY AND LAND MANAGEMENT	8.18	Insurance - Policy Management	The summary management of insurance arrangements	Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded	Insurance register	See Section 7 - Financial Management	Finance			
8. PROPERTY AND LAND MANAGEMENT	8.19	Insurance - Policy Management	The process of insuring local authority officers, property, vehicles and equipment against negligence, loss or damage	Destroy 7 years after the terms of the policy have expired	Insurance policies Correspondence	See Section 7 - Financial Management	Finance			
8. PROPERTY AND LAND MANAGEMENT	8.20	Insurance - Policy Management	The process of renewing insurance policies	Destroy 5 years after the insurance policy has been renewed	Insurance policy renewal records Correspondence	See Section 7 - Financial Management	Finance			
8. PROPERTY AND LAND MANAGEMENT	8.21	Insurance - Claims Management	The process that records insurance claims against the local authority or local authority officers	Destroy 7 years after all obligations/entitlements are concluded (allowing for the claimant to reach 25 years of age)	Claims records Correspondence	See Section 7 - Financial Management	Finance			
8. PROPERTY AND LAND MANAGEMENT	8.22	Local Land Charges Register	Public Register	Retained indefinitely		Electronic record. TLC/IDOX	Land and Property Information/Regulatory Services		IDOX/TLC	Statutory
8. PROPERTY AND LAND MANAGEMENT	8.23	Local Land Charges Searches	Searches of the public Register plus forms of enquiry	Retained for at least six years; however our rule book states that "notwithstanding the effects of the Limitation Act, errors discovered on searches over six years of age can still be pursued. It is often essential for a local authority to be able to produce it's own copy of an official certificate or the replies to the CON29 responses". We are therefore advised to keep copies indefinitely. Checked with other Herts authorities who are keeping electronic copies indefinitely and any hard copies for at least six years.			Land and Property Information/Regulatory Services		Group Share Word/PDF dependent on document	Statutory
8. PROPERTY AND LAND MANAGEMENT	8.24	Land Charges Legal Documents	Copy documents	Retained indefinitely . Copies need to be supplied as a result of revealing on Local Land Charges Searches. Checked		Section 106 Agreements, Article 4 Directions etc	Land and Property Information/Regulatory Services Legal	Land and Property - to be scanned	Multiple - Group share folders/CD View/CD retrieve	Statutory
8. PROPERTY AND LAND MANAGEMENT	8.25	Street Naming and Numbering	Street Naming and Numbering	Keep indefinitely but need scanning (other authorities doing same)			Land and Property Information/Regulatory Services	Hard copies at desk (current cases) or in void (historical) but would like to be scanned or attached to IDOX Uniform		Statutory
8. PROPERTY AND LAND MANAGEMENT	8.26	Corporate Land and Property Gazetteer	Corporate Land and Property Gazetteer	Retained Indefinitely - working module which feeds other departments with land and property information			Land and Property Information/Regulatory Services		IDOX/GMS	Statutory
8. PROPERTY AND LAND MANAGEMENT	8.27	Assets of Community Value	Public Register	Retained indefinitely		Electronic records - email, word and pdf	Land and Property Information/Regulatory Services		TRDC Website/Group share	Statutory
8. PROPERTY AND LAND MANAGEMENT	8.28	Assets of Community Value	Determining potential asset	Retained for at least 6 years (possible lifetime of Asset is 5 years and then should be reapplied)					Group share/word/pdf/email etc	Statutory
8. PROPERTY AND LAND MANAGEMENT	8.29	Section 106 Monitoring	Monitoring the financial contributions within Section 106 Agreements	Currently monitoring any Agreement since 2005. Would need to keep Agreement indefinitely and working			Land and Property Information/Regulatory Services		Group Share/word/pdf/excel etc	Statutory
9. HEALTH AND SAFETY	9.1	Inspections and Assessments	Process of inspecting equipment to ensure it is safe	Destroy 6 Years from destruction of the equipment	Equipment inspection records		Various	Departmental	Groupshare	Statutory
9. HEALTH AND SAFETY	9.2	Inspections and Assessments	Processing the geo- technical assessments of a quarry	When quarry is no longer in use consult or refer to Health and Safety Executive (HSE)	Not Applicable					Statutory
9. HEALTH AND SAFETY	9.3	Inspections and Assessments	Process of carrying out monitoring to ensure that the process is safe	Destroy 3 Years from last action	Monitoring results	Legionella monitoring schedule	Property Services	Property Services	Records for Buildings website	Statutory
9. HEALTH AND SAFETY	9.4	Inspections and Assessments	Process of monitoring of areas where employees and persons are likely to have become in contact with asbestos	Destroy 40 Years from last action	Property asbestos file	Asbestos reports	Property Services	Records for Buildings website	Records for Buildings website	Common Practice based on Statutory
9. HEALTH AND SAFETY	9.5	Inspections and Assessments	Process of monitoring of areas where employees and persons are likely to have come in contact with radiation	Destroy 50 years from last action or at age 75 years whichever is the greater	Radon monitoring	NOT APPLICABLE				

Service Area	Ref	Function	Function Description	Retention Action	Examples of Records	Other TRDC Examples	Department	Location (hard copy)	Location (Electronic)	Comments
9. HEALTH AND SAFETY	9.6	Inspections and Assessments	Process to ensure safe systems of work	Retain until superseded or process ceases +1 year		DSE Assessment , Lone worker policy	Various	Various	Departmental Drive	Common Practice
9. HEALTH AND SAFETY	9.7	Inspections and Assessments	Process to asses the level of risk	Destroy 3 years from last assessment	Risk assessment		Various	Departmental	Groupshare	Statutory
9. HEALTH AND SAFETY	9.8	Inspections and Assessments	Processes that permit work	Destroy 1 year from last action			Various	Departmental	Groupshare	Common Practice
9. HEALTH AND SAFETY	9.9	Inspections and Assessments	Process that records injuries to adults	Destroy 3 years from closure action	Accident books		Various	Departmental	Groupshare	Statutory
9. HEALTH AND SAFETY	9.10	Inspections and Assessments	Process that records injuries to children	Destroy 25 years from closure action	Accident books		Various	Departmental	Groupshare	Based on Statutory
9. HEALTH AND SAFETY	9.11	Emergency Planning	Process to develop the emergency/disaster plan for the local community	Permanent. Offer to Archivist. Transfer to Place of Deposit after superseded	Major Incident Plan	Other Herts Resilience Plans	Corporate Services	Corporate Services	Group Share - Emergency Planning	Statutory Civil Contingencies Act
9. HEALTH AND SAFETY	9.12	Emergency Planning	Process of recording the results of the test for emergency/disaster plan for the local community	Destroy 10 years after closure		Exercise reports	Corporate Services		Group Share - Emergency Planning	Statutory Civil Contingencies Act
9. HEALTH AND SAFETY	9.13	Major Incident	Activities that report on all major incidents in the local community, whether the emergency plan has been invoked or not	Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded		Debrief reports	Corporate Services		Group Share - Emergency Planning	Statutory Civil Contingencies Act
9. HEALTH AND SAFETY	9.14	Major Incident	Activities that report on all minor incidents in the local community	Destroy 7 years after closure		Debrief reports	Corporate Services		Group Share - Emergency Planning	Statutory Civil Contingencies Act
9. HEALTH AND SAFETY	9.15	Enforcement Certification and Prosecution	Summary management systems that allow the monitoring & management of registration, certification and licences registration requirements in summary form	Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded	Visual impairment register		Various	Departmental	Groupshare	Common Practice
9. HEALTH AND SAFETY	9.16	Enforcement Certification and Prosecution	The administration of applications, registration, certification and licences in relation to local authorities' registration requirements	Destroy 2 years after registration or entitlement lapses	Applications for animal registration Applications for registration of a business premises Applications for release of animals impounded Registers Certificates of registration - door supervisors Certificates of registration - taxi drivers Certificates of registration - beauty therapists Animal movement licences Gaming Fire certification Disabled Parking permits Blue badge Registration to sell poison		Various	Departmental	Groupshare	Statutory. Note: may want archival review in cases of licensing of children in entertainment
9. HEALTH AND SAFETY	9.17	Enforcement Certification and Prosecution	The process involved in licensing sites for the holding or use of toxic or hazardous substances. (including petroleum, agricultural chemical products or herbicides)	Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded - 60 years after registration or entitlement lapses	Diesel licences Petroleum licences Health & Safety licensing Hazardous substances Contaminated land register/pollution		Licensing (EH Commercial)		Groupshare	Common Practice
9. HEALTH AND SAFETY	9.18	Enforcement Certification and Prosecution	The process of registration of homes or carers for the care and support of children, in the responsibility of the local authority	Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded - 25 years from closure of centre, or discontinuation of care	Organisation files Child carers files Childcare registration Day care registration Children's home	NOT APPLICABLE				
9. HEALTH AND SAFETY	9.19	Notification	The process of issuing notices to citizens with respect to particular responsibilities	Destroy 2 years after the matter is concluded	Fire prevention notices Fire prevention Infringement notices Objections to notices Appeals against notices Registration of premises Infringement notices Animal impounding notices		Various	Departmental	Groupshare	Common Practice
9. HEALTH AND SAFETY	9.20	Investigation, Inspection and Monitoring	The process of investigation, monitoring or inspection laws in the responsibility of the local authority	Destroy 7 years from last action	Trading Standards sample and inspection records Fire certificate compliance inspections		Licensing (EH Commercial)		Groupshare	Common Practice
9. HEALTH AND SAFETY	9.21	Prosecution	The process of prosecution or sanction of an individual or organisation for failing to comply with their legal responsibilities	Destroy 7 years from last action	Prosecution/sanction files		Legal	Legal Strong room	Groupshare	Common Practice
9. HEALTH AND SAFETY	9.22	Bye-Laws - Enactment	The process of making local laws	Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded	Master set of bye-laws Policy development documents Correspondence Submissions		Legal	Legal Strong room	Groupshare	Common Practice
9. HEALTH AND SAFETY	9.23	Bye-Laws - Administration	The process of administering and enforcing	Destroy 2 years after certificate has	Applications and certificates		Legal	Legal Strong room	Groupshare	Common Practice

Service Area	Ref	Function	Function Description	Retention Action	Examples of Records	Other TRDC Examples	Department	Location (hard copy)	Location (Electronic)	Comments
		and Enforcement	bye-laws	expired or penalty payment has been made or the matter has been finished or correspondence on the matter has ceased	Permits Licences Infringement notices (Parking) Correspondence					
9. HEALTH AND SAFETY	9.24	Cemeteries and Crematoria	Summary management systems that record the location of burials and identity of deceased individuals	Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded	Register of interments Cemetery register Cemetery plans					Common Practice
9. HEALTH AND SAFETY	9.25	Cemeteries and Crematoria	The process of regulation of burials and cremations	Destroy 5 years after last action	Permits Applications Orders					Common Practice
9. HEALTH AND SAFETY	9.26	Waste Management - Collection	The process of arranging the collection or transportation of household waste	Destroy 2 years after last action						Common Practice
9. HEALTH AND SAFETY	9.27	Waste Management - Collection	The process of arranging the collection or transportation of controlled waste	Destroy 6 years after last action						Common Practice
9. HEALTH AND SAFETY	9.28	Waste Management - Disposal of Waste	The summary management of sites used for the disposal of waste within the local authority	Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded						Common Practice
9. HEALTH AND SAFETY	9.29	Waste Management - Disposal of Waste	The process of the short- term storage of household waste	Destroy 10 years after site closure	Transfer sites					Common Practice
9. HEALTH AND SAFETY	9.30	Waste Management - Disposal of Waste	The process involved in managing the use, type and amount of waste to be disposed at a specific site	Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded	Waste site plans					Common Practice
10. PLANNING AND LAND USE	10.1	Planning Scheme Development and Amendment	The activity of developing a vision and strategic directions regarding existing and future land use within the Local Authority and the development of local and town centre plans to ensure the implementation of the Structure Plan	Permanent. Offer to Archivist when plan superseded	Structure Plan Local Plan Town Centre plans Unitary Development plans	Local Plan	Planning Policy & Projects		Group Share - Planning Policy	Common Practice
10. PLANNING AND LAND USE	10.2	Planning Scheme Development and Amendment	The activity of consultation to gain approval for the Structure Plan (Unitary Development Plans) or Local Plans	Permanent. Offer to Archivist for review after 3 years	Consultation documents and replies Inquiries and objections made by members of the public Public inquiry documents		Planning Policy & Projects		Group Share - Planning Policy	Common Practice
10. PLANNING AND LAND USE	10.3	Planning Scheme Development and Amendment	The activity of recording information on historical buildings, monuments and ecology at a specific site	Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded	Sites and Monuments records Ecological records Species records Historically listed buildings Definitive map Commons registration		Planning Policy & Projects		Group Share - Planning Policy	Common Practice
10. PLANNING AND LAND USE	10.4	Planning Scheme Development and Amendment	The activity of establishing planning scheme controls and providing for them to be amended	Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded	Successful Waste Planning application Successful Mineral Planning applications Amendments to definitive map Mineral Register Applications for mineral extraction Land Use surveys		Planning Policy & Projects		Group Share - Planning Policy	Common Practice
10. PLANNING AND LAND USE	10.5	Planning Scheme Development and Amendment	The process of receiving, considering and responding to submissions and objections to planning schemes and amendments	Destroy 15 years after decision. Offer controversial/high profile schemes to Archivist	Waste Planning application consultation Mineral Planning application consultation Objections Inquiries - Public, etc Archaeological advice/conditions		Development Management		Groupshare - Planning Idox	Common Practice
10. PLANNING AND LAND USE	10.6	Planning Scheme Development and Amendment	The process of controlling development of areas through applications for planning permission	Transfer planning application register to Archivist once the register has been completed (or at arranged intervals if it is held electronically). Refer all other records to Archivist for sampling	Planning application files and plans Correspondence relating to any objections Hearing papers Planning application register		Development Management		Groupshare - Planning Idox	Common Practice
10. PLANNING AND LAND USE	10.7	Planning Scheme Development and Amendment	The process of maintaining the countryside and developing open spaces for public amenity	Refer all files relating to policy to the Archivist . Destroy other files 7 years after administrative use concluded	Tree preservation orders Country parks and nature reserves development plans and correspondence, land purchase agreements		Development Management		Groupshare - Planning Idox	Common Practice
10. PLANNING AND LAND USE	10.8	Planning Scheme Regulation	The summary management of planning scheme regulation	Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded	Building Control registers		Development Management		Groupshare - Planning	Common Practice
10. PLANNING AND LAND USE	10.9	Planning Scheme Regulation	The process of regulating the planned use of land or buildings	Destroy 15 years after closure			Development Management		Groupshare - Planning	Common Practice
10. PLANNING AND LAND USE	10.10	Planning Scheme Regulation	The process of approving building applications in relation to listed or other significant buildings	Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded	Building files Plans Specifications Correspondence Applications Permits Certificates		Development Management		Groupshare - Planning	Common Practice
10. PLANNING AND LAND USE	10.11	Planning Scheme Regulation	The process of approving building applications, for all other buildings	Destroy 15 years after construction completed	Building files Plans Specifications Correspondence		Development Management		Groupshare - Planning	Common Practice

Service Area	Ref	Function	Function Description	Retention Action	Examples of Records	Other TRDC Examples	Department	Location (hard copy)	Location (Electronic)	Comments
					Applications Permits Certificates Objections					
10. PLANNING AND LAND USE	10.12	Planning Scheme Regulation	The process of inspecting building work for the purpose of insuring compliance	Destroy 10 years after the issue of a certificate of final inspection	Certificate of final inspection Building Inspection records Diaries		Development Management		Groupshare - Planning IDOX	Common Practice
10. PLANNING AND LAND USE	10.13	Planning Scheme Regulation	The process of enforcing building or land regulations	Destroy 3 years after compliance with enforcement notice			Development Management		Groupshare/planning, Idox	Common Practice
10. PLANNING AND LAND USE	10.14	Planning Applications (including pre app)	The process of controlling development of areas through applications for planning	Permanent		Plans; supporting documents; consultee responses, neighbour comments;	Development Management	N/A 2014-2017 files in void to be destroyed once 3 years old	IDOX	Common practice
10. PLANNING AND LAND USE	10.15	Planning Appeals	The process of controlling development of areas through appeals against planning	Permanent		As above plus appeal form; statement of case; statement of common ground;	Development Management	N/A 2014-2017 files in void to be destroyed once 3 years old	IDOX	Common practice
10. PLANNING AND LAND USE	10.16	General Correspondence	The receipt and response to correspondence not related to current	up to 10 in specific cases		Neighbour borough notifications; Telecom letters (not applications);	Development Management	Files within DM	Shared folder; EnquirePlan Inbox (outlook)	Common practice
10. PLANNING AND LAND USE	10.17	Enforcement Notices	The recording of formal enforcement action / enforcing planning regulations	Permanent		Enforcement Notices; Enforcement Notices, Breach of Condition Notices,	Development Management	Files within DM (to be scanned)	IDOX	Requirement to hold an enforcement
10. PLANNING AND LAND USE	10.18	Enforcement Complaints/records	The process of investigating breaches of planning control	Permanent (destroy records after 10 years)		Scanned letters from the public, photographs, plans, decision notices,	Development Management	None	Shared Folder; Enforcement	Required for historical research
10. PLANNING AND LAND USE	10.19	Licensing Applications	The process of licences, permits, consents and registrations to safeguard the general	Permanent		Application for Hackney Carriage Driver, Private Hire Driver, Operator, Personal,	Regulatory Services	Paper copies kept for licences (taxi licenses/operator)	Shared Folder, Access databases and Uniform/IDOX	Required for historical research
10. PLANNING AND LAND USE	10.20	Certificate of lawfulness CLEUD/CLOPUD		Destroy 7 years after last action			Legal	Legal		Statutory
11. INFRASTRUCTURE AND TRANSPORT	11.1	Planning and Development	The activity of developing a vision and strategic directions regarding existing transport and infrastructure within the municipality	Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded	Structure Plan Local Transport Plan		Regulatory Services	Regulatory Services	Groupshare	Common Practice
11. INFRASTRUCTURE AND TRANSPORT	11.2	Planning and Development	The activity of recording location of highways, bridle paths and rights of way	Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded	Definitive map Correspondence concerning enquiries and disputes					Common Practice
11. INFRASTRUCTURE AND TRANSPORT	11.3	Planning and Development	The activity of establishing planning scheme controls and providing for them to be amended and modified	Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded	Amendments to definitive map Road adoption		Development Management		Groupshare/planning, Idox	Common Practice
11. INFRASTRUCTURE AND TRANSPORT	11.4	Planning and Development	The process of receiving, considering and responding to submissions and objections to planning schemes and amendments	Destroy 7 years after decision. Offer controversial/high profile schemes to Archivist	Enquiries, consultation documents, objections and correspondence		Development Management		Groupshare/planning, Idox	Common Practice
11. INFRASTRUCTURE AND TRANSPORT	11.5	Planning and Development	The process of enforcing infrastructure and transport regulations	Destroy 50 years after enforcement notice. Destroy 3 years after compliance with enforcement notice			Regulatory Services	Regulatory Services	Groupshare	Common Practice
11. INFRASTRUCTURE AND TRANSPORT	11.6	Traffic Management	The activity of planning, and programming the continued flow, diversion or reduction of traffic	Destroy 7 years after action completed	Traffic orders		Regulatory Services	Regulatory Services	Groupshare	Common Practice
11. INFRASTRUCTURE AND TRANSPORT	11.7	Design and Construction	The activity of planning, designing, programming and constructing roads, streets, bridges, and tunnels	Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded			Regulatory Services	Regulatory Services	Groupshare	Common Practice
11. INFRASTRUCTURE AND TRANSPORT	11.9	Road Maintenance	The activity of maintaining and repairing roads, streets, bridges, bridle paths, rights of way and tunnels	Destroy 12 years after action completed			Property Services	Files in property	Groupshare	Common Practice
11. INFRASTRUCTURE AND TRANSPORT	11.10	Public Transport	The activities involved in the management and provision of public transport	Destroy 3 years after superseded or last action	Timetables and routes Maps Fares Customer and industry liaison		Not Applicable			Common Practice
12. LEISURE SERVICES	12.1	Procurement of capital schemes	Procurement of capital works, including PM and PD to oversee the project. This includes from the preparation of tender documentation, tender assessment and installation as well as post installation documentation and handover files.	Destroy 7 years after the end of the financial year in which the records were created. Handover files to be kept indefinitely		Play area upgrading and refurbishment, new tennis courts, skate areas etc.	Leisure Development		Group Share - Leisure & Community	Common Practice
12. LEISURE SERVICES	12.2	Funding Agreements	Management of the approvals process for purchase, and grant funding from funds held on behalf of different partnership groups for which TRDC is the accountable body	Destroy 7 years after the end of the financial year in which the records were created		Funding bids, and related correspondence e.g. with HLF	Leisure Development	Individual transactions on Budget Monitor II	Group Share - Leisure & Community	Common Practice
12. LEISURE SERVICES	12.3	Consultations	Any consultation with the local community which informs the direction of a particular project or activity programme or can be used as evidence to support the establishment of the scheme.	Destroy 1 year from Closure of the project		Consultation towards a capital project or new physical activity intervention	Leisure Development		Group Share - Leisure & Community	Common Practice
12. LEISURE SERVICES	12.4	Policies and Procedures	Policies and procedures for all Leisure Development activities, relating to working with children, young people and adults, safeguarding and health and safety.	Update annually and destroy old copies		esafety policy	Leisure Development		Group Share - Leisure & Community	Common Practice
12. LEISURE SERVICES	12.5	Photographs and Videos	Photographs and videos of activities used within marketing.	Destroy 2 years from the date of the photograph or video		Photos from playschemes	Leisure Development		Group Share - Leisure & Community	Common Practice

Service Area	Ref	Function	Function Description	Retention Action	Examples of Records	Other TRDC Examples	Department	Location (hard copy)	Location (Electronic)	Comments
12. LEISURE SERVICES	12.6	Ofsted records	Paperwork and evidence to support adherence to the statutory framework for Ofsted registered provision	Destroy 3 years from Ofsted inspection		Observations, customer comments, reports	Leisure Development		Group Share - Leisure & Community	Common Practice
12. LEISURE SERVICES	12.7	Staff recruitment and retention	The entire recruitment process of casual staff as well as training records and contact details	Destroy as soon as the staff member no longer works for the Council		Application forms, training records, reference forms, Single Central Record	Leisure Development		Group Share - Leisure & Community	Statutory Guidance (GDPR)
12. LEISURE SERVICES	12.8	Risk Assessments	All risk assessments for leisure activities	Keep indefinitely		Playscheme site risk assessment	Leisure Development		Group Share - Leisure & Community	Common Practice
12. LEISURE SERVICES	12.9	Annual Play Area Inspections	Annual inspections of Council owned and managed play areas	Keep indefinitely		Play Area annual inspection	Leisure Development		Group Share - Leisure & Community	Common Practice
12. LEISURE SERVICES	12.10	Accident Report Forms	All accident reporting and RIDDORS for Leisure Activities	Keep indefinitely		Child accident form	Leisure Development		Group Share - Leisure & Community	Common Practice
12. LEISURE SERVICES	12.11	Site check assessments	Site check for all leisure activities	Keep indefinitely		Site check for Play Rangers	Leisure Development		Group Share - Leisure & Community	Common Practice
12. LEISURE SERVICES	12.12	Participant registration forms	New participant forms	Destroyed as soon as added to the database and deleted after 3 years		Par-Q form	Leisure Development		Group Share - Leisure & Community	Common Practice
12. LEISURE SERVICES	12.13	Participant evaluation forms	Evaluation forms for leisure activities	Destroyed as soon as added to the database and deleted after 3 years		Post-activity evaluation form	Leisure Development		Group Share - Leisure & Community	Common Practice
12. LEISURE SERVICES	12.14	Payments for Leisure Activities	Receipts and payment records for all activities	Destroy 7 years after the end of the financial year in which the records were created		Payment for Playschemes	Leisure Development	Individual transactions on Budget Monitor II	Group Share - Leisure & Community	Common Practice
12. LEISURE SERVICES	12.15	Playscheme Referral Service	Processing of paperwork to enable residents to access leisure provision at a reduced rate, depending on their circumstances	Destroy evidence annually and update database on an annual basis		Referral scheme application	Leisure Development		Group Share - Leisure & Community	Common Practice
12. LEISURE SERVICES	12.16	Leisure Management Contract	procurement of and monitoring of the leisure management contract	Destroy after the end of the life of the contract		Tender documentation, signed contract agreement	Leisure and Community Services		Group Share - Leisure & Community	Statutory Guidance
12. LEISURE SERVICES	12.17	Contractor details	Details from anyone employed to deliver a service outside of being a direct TRDC employee	Destroy after the end of the life of the contract		Signed contracts, DBS information	Leisure Development		Group Share - Leisure & Community	Common Practice
12. LEISURE SERVICES	12.18	Service plan development	Activities that develop the Leisure and Landscapes Service Plan	Destroy 7 years from closure		Service plans, Performance Indicators and targets	Leisure and Community Services		Group Share - Service Plans	Common Practice
12. LEISURE SERVICES	12.19	Individual service compliments and complaints	The management of customer complaints or compliments	Destroy 6 years after administrative use is concluded		Correspondence, reports	Leisure and Community Services		Group Share - Leisure & Community	Common Practice
12. LEISURE SERVICES	12.20	Logged Concerns - Early Help Children	Case Management of children and families in need not subject to child protection enquiry and not looked after or fostered	Destroy 10 years from closure		Referrals to Families First with family consent, and casework actions	Corporate		Group Share - Safeguarding	Common Practice
12. LEISURE SERVICES	12.21	Family Intervention Project Casework	Case Management of children and families in need not subject to child protection enquiry and not looked after or fostered	Destroy 10 years from closure		FIP cases	Community Partnerships		Group Share - CIU	Common Practice
12. LEISURE SERVICES	12.22	Logged Concerns - Child Protection Referrals	Process involving individual case assessment, investigation, registration, and management of children in child protection	Destroy 35 years from closure		Child protection referrals, case conferences, and investigations	Corporate		Group Share - Safeguarding	Common Practice
12. LEISURE SERVICES	12.23	Logged Concerns - Adults - Early Help - non mental health	Process involving in assessing and providing individual support or services to all other people	Destroy 6 years after last contact		All logged concerns for adults under threshold not involving mental health	Corporate		Group Share - Safeguarding	Common Practice
12. LEISURE SERVICES	12.24	Logged Concerns - Adults - Early Help - mental health	Process involving in assessing and providing individual support for people with mental illness.	Destroy 10 years after last contact		Mental Health Referrals and casfiles	Corporate		Group Share - Safeguarding	Common Practice
12. LEISURE SERVICES	12.25	Logged Concerns - Adults - Safeguarding referrals non mental health	Process involving in assessing and providing individual support or services to all other people	Destroy 6 years after last contact		Adult safeguarding casework not involving mental health	Corporate		Group Share - Safeguarding	Common Practice
12. LEISURE SERVICES	12.26	Logged Concerns - Adults - Safeguarding referrals - mental health	Process involving in assessing and providing individual support for people with mental illness.	Destroy 10 years after last contact		Mental Health Safeguarding referrals and casfiles	Corporate		Group Share - Safeguarding	Common Practice
12. LEISURE SERVICES	12.27	Hate Crime Reports	Process involving in assessing and providing individual support or services to all other people	Destroy 6 years after last contact		Adult safeguarding casework not involving mental health	Corporate		Group Share - Safeguarding	Common Practice
12. LEISURE SERVICES	12.28	Audits	Process involved in development of services or programmes for children or adults	Destroy 7 years from closure.		Safeguarding policy and procedures	Corporate		Group Share - Safeguarding	Common Practice
12. LEISURE SERVICES	12.29	Safeguarding action plan	Process involved in development of services or programmes for children or adults	Destroy 7 years from closure.		Safeguarding policy and procedures	Corporate		Group Share - Safeguarding	Common Practice
12. LEISURE SERVICES	12.30	Annual reports	Process involved in development of services or programmes for children or adults	Destroy 7 years from closure.		Safeguarding policy and procedures	Corporate		Group Share - Safeguarding	Common Practice
12. LEISURE SERVICES	12.31	Procurement of capital works	Procurement of capital works, including PM and PD to oversee the project. This includes from the preparation of tender documentation, tender assessment and installation as well as post installation documentation	Destroy 7 years after the end of the financial year in which the records were created. Handover files to be kept indefinitely		Boiler replacement	Watersmeet		Group Share - Property	Common Practice
12. LEISURE SERVICES	12.32	Procurement of Pantomime	Procurement of pantomime, including PM and PD to oversee the project. This includes from the preparation of tender documentation, tender assessment	Destroy 7 years after the end of the financial year in which the records were created.		Panto producers	Watersmeet		Group Share - Watersmeet	Common Practice
12. LEISURE SERVICES	12.33	Policies and Procedures	Policies and procedures for Watersmeet building and activities including health and safety.	Update annually and destroy old copies		Duty manager policy	Watersmeet	Watersmeet Staff Office	Group Share - Watersmeet	Common Practice

Service Area	Ref	Function	Function Description	Retention Action	Examples of Records	Other TRDC Examples	Department	Location (hard copy)	Location (Electronic)	Comments
12. LEISURE SERVICES	12.34	Photographs and Videos	Photographs and videos of activities used within marketing.	Destroy 2 years from the date of the photograph or video		Photos of room set ups	Watersmeet		Group Share - Watersmeet	Common Practice
12. LEISURE SERVICES	12.35	Staff recruitment and retention	The entire recruitment process of casual staff as well as training records and contact details	Destroy as soon as the staff member no longer works for the Council		Application forms, training records, reference forms	Watersmeet		Group Share - Watersmeet	Statutory Guidance (GDPR)
12. LEISURE SERVICES	12.36	Risk Assessments	All risk assessments activities carried out at Watersmeet	Keep indefinitely		Working at Height - rigging LX	Watersmeet	Watersmeet Staff Office	Group Share - Watersmeet	Common Practice
12. LEISURE SERVICES	12.37	Accident Report Forms	All accident reporting and RIDDORS for Watersmeet	Keep indefinitely		Customer accident reports	Watersmeet	Watersmeet Safe	Group Share - Watersmeet	Common Practice
12. LEISURE SERVICES	12.38	Contractor details	Details from anyone employed to deliver a service outside of being a direct TRDC employee	Destroy after the end of the life of the contract		Signed contracts, RAMS	Watersmeet		Group Share - Watersmeet	Common Practice
12. LEISURE SERVICES	12.39	Venue Hire Agreements	Contact details and booking records for all hires	Destroy 7 years after the end of the financial year in which the records were created		Hire Agreements	Watersmeet	Void	Group Share - Watersmeet	Common Practice
12. LEISURE SERVICES	12.40	Payments for Venue Hire	Receipts and payment records for all hires	Destroy 7 years after the end of the financial year in which the records were created		Payment for Venue Hire	Watersmeet		Budget Monitor II	Common Practice
12. LEISURE SERVICES	12.41	Box Office	Customer contact records, bookings and payments	Archive records if no bookings within 7 years		Customer contact details	Watersmeet		Tickets.com	Common Practice
12. LEISURE SERVICES	12.42	Bar Tills	Purchase receipts, stock	Destroy 7 years after the end of the financial year in which the records were created		Till receipts, stock list	Watersmeet	Void	EPOS Now	Common Practice
12. LEISURE SERVICES	12.43	Compliments and complaints	The management of customer complaints or compliments	Destroy 6 years after administrative use is concluded		Correspondence, reports	Watersmeet		Firmstep	Common Practice
13.COMMUNITY SAFETY	13.1	ASB Casework	The process of investigating, monitoring complaints of ASB under the local authority responsibilities	Destroy 7 years from last action	ASB complaints, action plans		Community Partnerships		Safetynet. Firmstep. Casefiles at Group Share - CIU	Common Practice
13.COMMUNITY SAFETY	13.2	ASBAG Meetings	The process of investigating, monitoring complaints of ASB under the local authority responsibilities	Destroy 7 years from last action	ASB complaints, action plans and related correspondence		Community Partnerships		Safetynet. Firmstep. Casefiles at Group Share - CIU	Common Practice
13.COMMUNITY SAFETY	13.3	ASB - ABAs	The process of sanction or prosecution of an individual or organisation for failing to comply with their legal responsibilities	Destroy 7 years from last action	ABAs and related correspondence		Community Partnerships		Group Share - CIU	Common Practice
13.COMMUNITY SAFETY	13.4	ASB - Community Protection Warnings	The process of sanction or prosecution of an individual or organisation for failing to comply with their legal responsibilities	Destroy 7 years from last action	CPWs and related correspondence		Community Partnerships		Group Share - CIU	Common Practice
13.COMMUNITY SAFETY	13.5	ASB - Community Protection Notices	The process of sanction or prosecution of an individual or organisation for failing to comply with their legal responsibilities	Destroy 7 years from last action	CPNs and related correspondence		Community Partnerships		Group Share - CIU	Common Practice
13.COMMUNITY SAFETY	13.6	ASB - CPN related Fixed Penalty Notices	The process of sanction or prosecution of an individual or organisation for failing to comply with their legal responsibilities	Destroy 7 years from last action	FPNs and related correspondence and payment tracking		Community Partnerships		Group Share - CIU	Common Practice
13.COMMUNITY SAFETY	13.7	ASB - Closures Orders	The process of sanction or prosecution of an individual or organisation for failing to comply with their legal responsibilities	Destroy 7 years from last action	Closure orders, case files, bundles and related correspondence and notices		Community Partnerships		Group Share - CIU	Common Practice
13.COMMUNITY SAFETY	13.8	ASB - Public Space Protection Orders	The process of making local Orders	Destroy 7 years from close.	PSPO for School Parking, associated correspondence and public consultation.		Community Partnerships		Group Share - CIU	Common Practice
13.COMMUNITY SAFETY	13.9	Domestic Abuse Casework	The process of investigating, monitoring complaints of Domestic Abuse	Destroy 7 years from last action	Referrals for DAC service, referrals to MARAC		Community Partnerships		Group Share - CIU	Common Practice
13.COMMUNITY SAFETY	13.10	Families First casework	Case Management of children and families in need not subject to child protection enquiry and not looked after or fostered	Destroy 10 years from closure	Intensive Family Support Team Cases		Community Partnerships		Early Help Module - Hosted by HCC. Email correspondence on worker email	Common Practice
13.COMMUNITY SAFETY	13.11	CSP Partnership Bids	Management of the approvals process for purchase, and grant funding from funds held on behalf of different partnership groups for which TRDC is the accountable body	Destroy 7 years after the end of the financial year in which the records were created	Funding bids, and related correspondence e.g. with OPCC		Community Partnerships	Individual transactions on Budget Monitor II	Group Share - CIU	Common Practice
13.COMMUNITY SAFETY	13.12	Community Safety Action Plan and Strategic Assessment	The process of preparing business for partnership and agencies consideration and making the record of discussion, debate and resolutions, where the local authority owns the record.	Destroy 7 years from closure	Meeting agendas, action plans, performance reports, minutes		Community Partnerships		Group Share - CIU	Common practice
13.COMMUNITY SAFETY	13.13	Prevent Action Plan	The process of preparing business for partnership and agencies consideration and making the record of discussion, debate and resolutions, where the local authority owns the record.	Destroy 7 years from closure	Meeting agendas, action plans, performance reports, minutes		Community Partnerships		Group Share - CIU	Common practice
13.COMMUNITY SAFETY	13.14	Hate Crime Action Plan	The process of preparing business for partnership and agencies consideration and making the record of discussion, debate and resolutions, where the local authority owns the record.	Destroy 7 years from closure	Meeting agendas, action plans, performance reports, minutes		Community Partnerships		Group Share - CIU	Common practice

Service Area	Ref	Function	Function Description	Retention Action	Examples of Records	Other TRDC Examples	Department	Location (hard copy)	Location (Electronic)	Comments
13.COMMUNITY SAFETY	13.15	Fly Tip Action Plan and updates	The process of preparing business for partnership and agencies consideration and making the record of discussion, debate and resolutions, where the local authority owns the record.	Destroy 7 years from closure	Meeting agendas, action plans, performance reports, minutes		Community Partnerships		Group Share - CIU	Common practice
13.COMMUNITY SAFETY	13.16	CSP Performance Reports	The process of monitoring and reviewing strategic plans, policies or procedure	Destroy 5 years from closure	Meeting agendas, action plans, performance reports, minutes		Community Partnerships		Group Share - CIU	Common Practice
13.COMMUNITY SAFETY	13.17	PCC funding bids performance reports	The process of monitoring and reviewing strategic plans, policies or procedure	Destroy 5 years from closure	Meeting agendas, action plans, performance reports, minutes		Community Partnerships		Group Share - CIU	Common Practice
13.COMMUNITY SAFETY	13.18	Grant bids to other agencies	Management of approvals process for purchase, and identification of receipt and expenditure of public money	Destroy 7 years after the end of the financial year in which the records were created	Meeting agendas & minutes, grant payments, grant agreements		Community Partnerships		Group Share - CIU	Statutory
13.COMMUNITY SAFETY	13.19	Task group meetings	Activities that develop policies, procedures, strategies and structures	Destroy 7 years after last action	Meeting agendas, minutes, actions plans and performance reports		Community Partnerships		Group Share - CIU	Common Practice
13.COMMUNITY SAFETY	13.20	Board meetings	The process of preparing business for partnership and agencies consideration and making the record of discussion, debate and resolutions, where the local authority owns the record.	Destroy 7 years from closure	Meeting agendas, action plans, performance reports, minutes		Community Partnerships		Group Share - CIU	Common practice
13.COMMUNITY SAFETY	13.21	CSCG meetings	The process of preparing business for partnership and agencies consideration and making the record of discussion, debate and resolutions, where the local authority owns the record.	Destroy 7 years from closure	Meeting agendas, action plans, performance reports, minutes		Community Partnerships		Group Share - CIU	Common practice
14.SAFEGUARDING	14.1	Logged Concerns - Early Help Children	Case Management of children and families in need not subject to child protection enquiry and not looked after or fostered	Destroy 10 years from closure	Referrals to Families First with family consent, and casework actions		Community Partnerships		Group Share - CIU	Common Practice
14.SAFEGUARDING	14.2	Family Intervention Project Casework	Case Management of children and families in need not subject to child protection enquiry and not looked after or fostered	Destroy 10 years from closure	FIP cases		Community Partnerships		Group Share - CIU	Common Practice
14.SAFEGUARDING	14.3	Logged Concerns - Child Protection Referrals	Process involving individual case assessment, investigation, registration, and management of children in child protection	Destroy 35 years from closure	Child protection referrals, case conferences, and investigations		Community Partnerships		Group Share - Safeguarding	Common Practice
14.SAFEGUARDING	14.4	Logged Concerns - Adults - Early Help - non mental health	Process involving in assessing and providing individual support or services to all other people	Destroy 6 years after last contact	All logged concerns for adults under threshold not involving mental health		Community Partnerships		Group Share - Safeguarding	Common Practice
14.SAFEGUARDING	14.5	Logged Concerns - Adults - Early Help - mental health	Process involving in assessing and providing individual support for people with mental illness.	Destroy 10 years after last contact	Mental Health Referrals and casfiles		Community Partnerships		Group Share - Safeguarding	Common Practice
14.SAFEGUARDING	14.6	Logged Concerns - Adults - Safeguarding referrals non mental health	Process involving in assessing and providing individual support or services to all other people	Destroy 6 years after last contact	Adult safeguarding casework not involving mental health		Community Partnerships		Group Share - Safeguarding	Common Practice
14.SAFEGUARDING	14.7	Logged Concerns - Adults - Safeguarding referrals - mental health	Process involving in assessing and providing individual support for people with mental illness.	Destroy 10 years after last contact	Mental Health Safeguarding referrals and casfiles		Community Partnerships		Group Share - Safeguarding	Common Practice
14.SAFEGUARDING	14.8	Hate Crime Reports	Process involving in assessing and providing individual support or services to all other people	Destroy 6 years after last contact	Adult safeguarding casework not involving mental health		Community Partnerships		Group Share - Safeguarding	Common Practice
14.SAFEGUARDING	14.9	Mental Capacity Casework	Process involving in assessing and providing individual support for people with mental illness.	Destroy 10 years after last contact	Mental Health Safeguarding referrals and casfiles		Community Partnerships		Group Share - Safeguarding	Common Practice
14.SAFEGUARDING	14.10	Policy and Procedures	Process involved in development of services or programmes for children or adults	Destroy 7 years from closure.	Safeguarding policy and procedures		Community Partnerships		Group Share - Safeguarding	Common Practice
14.SAFEGUARDING	14.11	Audits	Process involved in development of services or programmes for children or adults	Destroy 7 years from closure.	Safeguarding policy and procedures		Community Partnerships		Group Share - Safeguarding	Common Practice
14.SAFEGUARDING	14.12	Safeguarding action plan	Process involved in development of services or programmes for children or adults	Destroy 7 years from closure.	Safeguarding policy and procedures		Community Partnerships		Group Share - Safeguarding	Common Practice
14.SAFEGUARDING	14.13	Annual reports	Process involved in development of services or programmes for children or adults	Destroy 7 years from closure.	Safeguarding policy and procedures		Community Partnerships		Group Share - Safeguarding	Common Practice