

NORTH LINCOLNSHIRE COUNCIL

POLICY AND FINANCE CABINET MEMBER

RECORDS MANAGEMENT POLICY UPDATE

1. OBJECT AND KEY POINTS IN THIS REPORT

- 1.1 To outline a series of required changes to the Records Management Policy.
- 1.2 To seek approval of an updated Records Management Policy as detailed.

2. BACKGROUND INFORMATION

- 2.1 Information is a key council asset and it is crucial that we handle it with the same care as other important assets, such as finance, people, land or property.
- 2.2 In order to maximise the effective and efficient use of information, it is essential we have a corporate view on how we manage, create, store, retrieve, retain, dispose and share information. The Records Management policy sets out the agreed approach to ensure we manage this effectively and consistently.
- 2.3 The Records Management Policy was approved in March 2013 but at that point did not include a Records Retention Schedule. It was agreed this would be added following an update to national guidance.
- 2.4 Recently the Local Government Association has produced updated national guidance on records retention for local government. The guidance allows for the addition of local practices where applicable however, these should be kept to a minimum to maintain consistency.
- 2.5 The national schedule is set out using the following approach:
 - Group records by function, service name and record description;
 - Indicate whether the records are likely to contain personal information and the impact level of the consequences of improper handling
 - State whether the minimum retention period is based on legislation or a business rule
 - State the trigger event that starts the retention period

- 2.6 We have produced the attached proposed Retention Schedule for the council in line with the national guidance. The key changes we have made are the addition of a reference number system, an index, a summary, a key, and the marking of any record categories that do not apply to the council. We have also made provision to add local rules specific to the council and have added two such rules to date.
- 2.7 The Records Retention Schedule will form part of the Information Governance Policy Framework within the Records Management Policy.
- 2.8 Section 10 of the Records Management Policy has been updated in the 'Retention and Disposal' section, to reflect the addition of the Records Retention Schedule as appendix C.
- 2.9 The NLC Records Retention Schedule will be available to all employees on the Top Desk system. This will be communicated to all officers effectively and further support will be provided where required.
- 2.10 Any national additions or changes be incorporated into the schedule on a quarterly basis or when necessary.
- 2.11 The Records Management Co-coordinators Group will continue to monitor the use of the Records Management Policy and the Records Retention Schedule.

3. OPTIONS FOR CONSIDERATION

- 3.1 Option 1: Approve the amendment of the Records Management Policy to include the Records Retention Schedule.
- 3.2 Option 2: Recommend changes to or reject the Records Retention Schedule.

4. ANALYSIS OF OPTIONS

- 4.1 Option 1 - The Records Retention Schedule is required to comply with legislation and good practice related to the effective handling of records.

5. RESOURCE AND OTHER IMPLICATIONS (FINANCIAL, STAFFING, PROPERTY, IT)

- 5.1 Key staff with information governance responsibilities will implement the requirements of the Records Retention Schedule. No extra resources will be required as the Policy and Resources directorate will lead and work with other directorates on the implementation.
- 5.2 Failure to comply with information governance legislation can result in the Information Commissioner imposing fines of up to £500,000 as well as potential reputational damage as a result of any negative publicity.
- 5.3 The adoption of a Records Retention Schedule will support wider corporate initiatives including the Corporate Records Improvement

Project and the Electronic Document Records Management System (EDRMS).

6. OUTCOMES OF INTEGRATED IMPACT ASSESSMENT (IF APPLICABLE)

6.1 An Integrated Impact Assessment has been undertaken and no adverse impacts have been identified. The NLC Retention Schedule makes provision to meet the equality needs of individuals.

7. OUTCOMES OF CONSULTATION & CONFLICTS OF INTEREST

7.1 Consultation has taken place with the Senior Information Risk Owner who supports the introduction of the schedule, the Corporate Records Co-coordinators Group and Legal Services who the national group suggests should approve any local schedules created. Internal Audit were consulted as part of the 2015 Records Management Audit.

8. RECOMMENDATIONS

8.1 That the updated Records Management Policy including the Records Retention Schedule be approved.

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Background papers used in the preparation of this report

ICO Guidance
NLC Information Governance Policy Framework
Relevant Legislation
Local Government Association Guidance



Schedule 01

Records Management Policy

October 2015 v3.0



www.northlincs.gov.uk

Document History

Purpose	
Document Purpose	To provide a corporate policy for Records Management
Document developed by	Principal Information Governance Officer
Document Location	This document is located on the council's web site and on the network at: www.northlincs.gov.uk

Revision	
Revision date	October 2015
Version	Final v3.0
Status	Final
Summary of changes	To add the NLC Records Retention Schedule as appendix C.

Approvals	
Principal Information Governance Officer	Lead the review of the framework and policies
Assistant Director, Business Support	Oversee the document through the council's approval process
IT Strategy Board	Approve any changes to the Framework and the Records Management Policy, recommending adoption to the Cabinet Member
Cabinet	Approve the review of the framework and policies

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1. Introduction

Information is a key corporate asset and the council creates, receives and handles vast amounts of it. It is vital that these assets are maximised through effective policies and procedures, to inform decision making, improve accountability, and enhance services to customers.

In order to maximise the effective and efficient use of information it is crucial to have a corporate view on how it is managed, created, stored, retrieval, retention, disposal and sharing of information effectively and consistently.

There can be significant risks in not managing information appropriately. This can have consequences for both the council's finances and reputation. There have been numerous cases where public authorities have failed to manage their information properly resulting in significant consequences for both the organisation and the individuals they serve. For example councils have been fined for not looking after information adequately or have been criticised for not being able to supply information promptly in response to a Freedom of Information request.

This policy encompasses the management of all information assets, the understanding and the application of regulatory frameworks and standards for managing information across the council. It also sets out the roles and responsibilities for managing information and records across the council.

This policy is part of a suite of information governance policies.

2. Purpose

The purpose of this policy is to ensure that council records and information are managed appropriately. The key objectives are to:

- Build an information management culture where information and records are managed coherently and consistently;
- Ensure compliance with legislation and standards;
- Collect information efficiently to support the council's objectives;
- Make better use of physical and electronic storage space;
- Ensure appropriate information is accessible when required;
- Ensure records are maintained in a safe and secure environment;
- Ensure records are kept for no longer than is necessary in accordance with Retention and Disposal standards and disposed of or retained correctly;
- Ensure the council's vital records are identified and protected (i.e. those required to maintain business continuity in the event of a disaster, and without which the council could not operate);
- Make better use of employee time;
- Ensure employees receive appropriate training in records management.

3. Scope

This policy applies to all records and information held by the council or held on behalf of the council. This includes information on paper and in electronic formats, including information collected by the council's CCTV cameras.

The scope of this policy extends to:

- Employees, contractors, volunteers, agencies and partner organisations operating on behalf of the council;
- Employees working at home, from home or remotely;
- Elected members whilst working on council business.

This policy does not apply to those schools with delegated powers, unless adopted by the governing body.

4. Legal Framework

The council must comply with all relevant statutory UK and European Union legislation, including the following that have links to Records Management:

- Freedom of Information Act 2000
- Environmental Information Regulations 2004
- Common law duty of confidence
- Copyright, Designs and Patents Act 1988
- Regulation of Investigatory Powers Act 2000
- Health & Social Care Act 2001
- Children Act 2004
- Equality Act 2010
- Re-use of Public Sector Information Regulations 2005
- Criminal Justice and Immigration Act 2008
- Crime and Disorder Act 1998
- Health and Safety at Work Act 1974
- Sex Discrimination Acts 1975 and 1986
- Race Relation Act 1976
- Limitations Act 1980
- Companies Acts 1985 and 1989
- Financial Services Act 1986
- Value Added Tax Act 1994
- Civil Evidence Act 1995
- Electronic Communications Act 2000

More information can be found in appendix B.

5. **Linkages with other policies and procedures**

This policy is supported by other policies, standards and procedures. These include but are not limited to the following:

- Information Governance Policy Framework
- Freedom of Information Policy
- Environmental Information Regulations Policy
- Data Protection Act Policy
- Publication Scheme
- Information Complaints Policy
- Security Incident and Data Breach Policy
- Human resources policies and procedures:
 - Recruitment
 - Employee induction
 - Disciplinary policy
 - Home working, lone working, remote working
 - Digital Technologies Policy
- Finance Manual
- Information Security Classification Procedure

6. **Definition of Terms Used in Records Management**

See appendix A for a list of the definitions of terms used in relation to Records Management.

7. **Freedom of Information Act, Environmental Information Regulations and Data Protection Act**

Good records management will enable compliance with requests for information under the Freedom of Information Act (FOIA), Environmental Information Regulations (EIR) and Data Protection Act (DPA). The production of the council's Publication Scheme is also dependent on records being properly managed and this again will ensure compliance with the FOIA.

The DPA in principal five states that information should not be kept for longer than necessary and principal seven states that information must be kept secure. Correct records management will enable compliance.

8. **What is a Record?**

In the following sections of this policy requirements for the management of records are set out. It is important, to make a distinction between what is and is not a record.

According to the ISO 15489 standard for the management of records, a record is:

“Information created, received, and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transaction of business.”

Essentially, it is a record of the council's business that requires effective management and preservation. Records exist in various formats, sometimes with older documents existing in different formats to those created today.

Examples of records include:

- Correspondence.
- Payroll documents.
- Case files.

A non-record, by definition, is an item of information that does not require the same rigour of management as that required for records. A non-record is information that is of immediate value only. Non-records may share some characteristics with administrative records but they are distinguished from administrative records by their transitory usefulness.

Examples of non-records include:

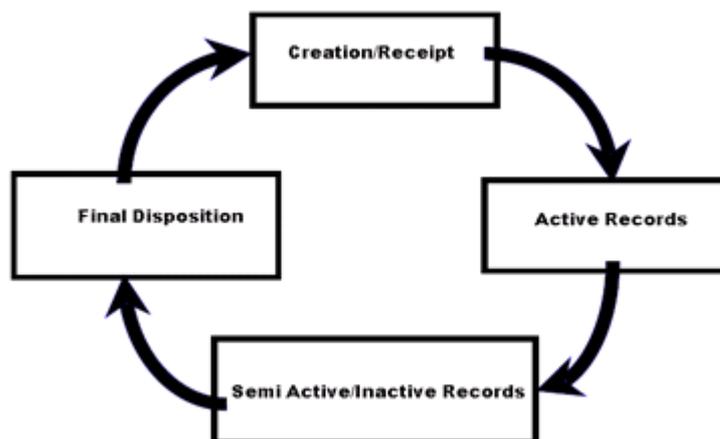
- Duplicate copies of original master records;
- Catalogues, trade journals, magazines, etc;
- Information copies of correspondence;

Non-records will be disposed of once they have served their useful purpose.

9. Records Management Lifecycle

All information goes through a lifecycle, from its creation to its disposal. At all stages of this lifecycle, processes are used to ensure that its value to the organisation is maximised and that it meets all relevant compliance requirements. Disposal will be as set out in the council's Records Retention Schedule an example of which will be added in the future to appendix C of this policy. In addition the council has a retention and disposal schedule for financial documents in the Finance Manual and will work towards creating its own corporate schedule based on the ESD Toolkit guidance.

See below for an example of a typical information lifecycle and explanatory notes:



- **Pre creation** – deciding which information needs to be captured as a record and how.
- **Create/ capture** – information that may need to be kept as a record can enter the organisation in many ways. Some is created within; some comes from external sources.
- **Index/classify** – the application of descriptive data to records to improve subsequent retrieval and to show when the record should be considered for disposal.
- **Process** – records may need to be processed at any point (have something done to them) in order to achieve business aims.
- **Store/manage (Active Records, Semi Active Records or Inactive Records)** – records, whether electronic or physical need to be stored and in a way that preserves security, integrity and authenticity and so that they can be accessed efficiently by those need to use them and are authorised to do so.

Active records are those requiring frequent use and they should generally be stored electronically in an EDRMS, electronically on a shared network drive or within offices if in paper format.

Records that are no longer considered to be 'active' will either be stored electronically or in physical storage at one of the council's corporate records stores. This will happen at the point the record is considered to be inactive or semi active in that it is still required by the council but not for current operational reasons and frequent use.

- **Retrieve** – the finding of stored records by those who are entitled to search for them.
- **Destroy or Preserve** – if records do not need to be retained permanently, have outlived any business or statutory requirement to retain further and have reached the disposal date they may be destroyed.

10. Record Management

Each service must have in place a record keeping system (paper or electronic) that documents its activities and provides for quick and easy retrieval of information. It must also take into account the legal and regulatory environment specific to the area of work and for ensuring that records are disposed of when they should no longer be kept. Records will be managed to an agreed set of corporate standards, as follows:

Record Creation

When records are created or received processes including the following will apply:

- Classifying and indexing records in such a way that they can be retrieved quickly and efficiently and also to enable compliance with the ESD Toolkit Records Retention Schedule.

- Procedures and guidelines for adding the following to all records –
 - Referencing
 - Titling
 - Naming conventions
 - Page numbering
 - Dating
 - Version control
 - Security marking
 - Who is permitted access
 - Name of creator
 - Creation date
 - Retention period
 - Storage location
- Producing an inventory of records held so that it is known for all records –
 - What records are held
 - In what format
 - Where
 - Why
 - For how long the record should be kept
 - Whether the record is classified as ‘vital’
 - When the record will be considered for disposal
 - If/when the record will move into the record store or for permanent preservation to an official archive
 - Whether there are any duplicate copies of the record and which is considered to be the primary copy.
- Procedures for ensuring the record keeping system is kept updated.
- The ability to cross reference electronic and paper records.
- The creation of backups of electronic records and ‘vital’ physical records to ensure continuity in the event of record loss or destruction.

Record maintenance and storage

The record keeping system must be maintained so that the records are properly stored and protected. This will include:

- Ensuring that appropriate physical or electronic storage space is provided and that physical records are moved to the corporate record store when no longer ‘active’.
- Monitoring the movement and location of records and keeping an audit trail of movements if necessary and ensuring that records are promptly filed correctly and that any records that need to be temporarily moved from the usual storage place are returned as soon as possible.
- Controlling access to records.
- Ensuring authenticity so that records retain their legal integrity. In particular, compliance with the principles of BS BIP 0008 for Legal Admissibility.

- Considering the preservation of digital material to ensure future access.
- Identifying vital records and applying the appropriate protection.

Security and Access

The council recognises the need for consistent and appropriate information to be available in ways that suit the customer and allow the council to function. Providing this availability requires controls to manage records and therefore information, including:

- Where necessary procedures are in place to document access to records.
- All employees are aware of the arrangements for allowing access to certain types of information, relevant to their areas of work.
- Accessibility of records should be checked and reviewed annually.
- Records accessed and created on mobile devices must remain within the council's secure workspace.

Retention and disposal

The council has created a corporate Records Retention Schedule to establish the minimum time records should be kept for and to document the action that should be taken at that point. This is based on Local Government Association schedule.

Retention guidelines and schedules relating to financial documents are also held in the Finance Manual.

In the NLC Records Retention Schedule it states whether the retention period is based on legislation or a business rule/common practice, where there are no legislative requirements. In some cases the business rule is specific to North Lincolnshire Council and in these instances the retention rule is known as a 'local rule'. Local arrangements are based on the business need and risk.

Retention periods specify the minimum time a record should be kept and what action should be taken at the end of that period. This is called a review. The disposal period will commence from a trigger event (such as the closure of a file).

Reaching the minimum disposal date does not always mean the record should be destroyed. In some cases the record may be retained longer or transferred to permanent archive.

All records will be disposed of in accordance with the NLC Records Retention Schedule. Any errors in the scheme or requests for addition should be highlighted to the Information Governance Team immediately. Any records being considered for disposal outside of the schedule disposal date should be discussed with the Information Governance Team prior to destruction.

Disposition is necessary to comply with the Data Protection Act 1998 in that principal five requires that records are only kept for as long as necessary. It is also required for the efficient administration of council records, keeping physical or electronic storage to a minimum and not hindering access to information that is still required, such as that needed to respond to Freedom of Information or Environmental Information Regulation Requests.

The retention and disposal process aims to ensure that:

- An intended disposal/review date is captured when creating records or receiving all records.
- Retained records are reviewed each year in accordance with the Retention Schedule and those records reaching the disposal date are considered for disposal.
- When records reach the disposal date the relevant inventory will be updated to reflect the action taken.
- Disposal of records documentation will be completed and retained whenever a record is disposed of. This may be necessary to provide evidence that a record is no longer held, for example in response to a Freedom of Information request. Destruction Form IG01 should be used.
- If records are transferred to official archives for permanent preservation transfer of records documentation will be completed and retained. Transfer Form IG02 should be used.
- Records subject to an outstanding request for information or legal proceedings will not be destroyed until after the request has been answered and/or the legal proceedings are completed.
- Destruction will be carried out in accordance with its level of sensitivity and in line with the council's Information Security Policy.

11. Management of electronic records

The principals that apply to the management of electronic records are generally the same as those for the management of any record, but how the principles are put into practice may differ.

Effective electronic record keeping requires:

- The creation of metadata necessary to identify documents should be part of the systems which hold the records.
- The maintenance of a structure of folders to reflect logical groupings of records.
- The secure maintenance of the integrity of electronic records to help prevent accidental or unauthorised alteration, copying, moving or deletion;
- The accessibility and use of electronic records for as long as required (which may include their migration across systems).

- The application of appropriate disposal procedures including marking records as 'inactive'.
- The ability to cross reference electronic records to their paper counterparts in a mixed environment.
- The ability to retain and dispose of emails in line with this policy. These guidelines will be further developed in the future.

Audit trails should be provided where appropriate for all electronic information and documents. They should be kept securely and be available for inspection by authorised personnel.

12. Roles and Responsibilities

Full details of the council's Information Governance roles and responsibilities are set out in the Information Governance Policy Framework. The following roles and responsibilities have specific involvement with Records Management:

Principal Information Governance Officer (Data Protection Officer & Deputy SIRO)

The Principal Information Governance Officer is responsible for:

- Creating a Records Management process which complies with relevant legislation.
- Promoting compliance with this policy.
- Providing expert advice to Records Co-ordinators and other council employees on compliance with this policy.
- Investigating non compliance with this policy.

Democratic & Legal Services are responsible for providing legal advice in respect of relevant legislation.

Records Co-ordinators

Each directorate/service is assigned a Records Co-ordinator and it is their responsibility, over and above those responsibilities assigned to all employees, to:

- Ensure records are managed in line with this policy.
- Assist managers with compliance with this policy and therefore relevant legislation.
- Work in conjunction with information request co-ordinators and Legal Services to ensure records are retained past the minimum disposal date when necessary.
- Make decisions in conjunction with the Information Governance Team about Common Practice (Local) Retention rules.

- Ensure along with the Information Asset owner that records are disposed of or retained in line with this policy.
- Report any breaches or potential breaches of this policy to the Senior Information Risk Owner (SIRO) or Principal Information Governance Officer.

13. Audit

Records Management policy, standards and procedures will be audited periodically as part of the annual internal audit work plan, to ensure compliance.

14. Monitoring and Review

The current version of this policy can be found on intralinc and the council website along with any supporting information. This policy and all supporting procedures will be reviewed as it is deemed appropriate but no less frequently than every 12 months.

Appendix A – Key Records Management Definitions

Term	Definition
Classification	Identification and arrangement of business activities and/or records into categories according in this instance to function.
Destruction	Process of deleting or destroying records, beyond any possible reconstruction.
Disposition	Range of processes associated with implementing records retention, destruction or transfer decisions.
Document	Recorded information or object, which can be treated as a unit.
Indexing	Process to facilitate retrieval of records and/or information.
Metadata	Data describing context, content and structure of records and their management through time.
Preservation	Processes and operations involved in ensuring the technical and intellectual survival of records through time.
Records	Information created, received, and maintained as evidence and information by an organisation or person, to fulfil legal obligations or business requirements.
Records system	Information system, which captures, manages and provides access to records through time.
Tracking	Creating, capturing and maintaining information about the movement and use of records
Transfer	Change of ownership and/or responsibility for records or moving records from one location to another.

Appendix B – Standards and Compliance

Data Protection Act 1998

Principals setting out how the council must deal with personal information and the right for individuals to gain access to the personal data that is held about them.

Freedom of Information Act 2000

Public access rights to all information held by a public authority, other than that which is exempt.

Environmental Information Regulations 2002

Public access rights to environmental information.

Local Government Act 1972

Section 224 of the Act requires local authorities to make proper arrangements in respect of the records they create.

Public Records Acts of 1958 and 1967

All public bodies have a statutory obligation to keep records in accordance with the Public Records Act. This places the responsibility on government departments and other organisations within the scope of the Act for making arrangements for selecting those of their records, which ought to be permanently preserved, and for keeping them in proper conditions. Parts of this Act have been superseded – particularly by the FOIA.

Limitation Act 1980

Has particular relevance to applying appropriate retention periods. For example, in regard to financial records, the Act “provides that an action to recover any sum recoverable by any enactment shall not be brought after the expiration of six years from the date on which the cause of the action accrued”.

Health and Safety at Work Act 1974

Influences how long records relating to Health and Safety incidents should be retained.

Human Rights Act 1998

Particular relevance in relation to an individual’s right to privacy.

Regulation of Investigatory Powers Act, 2000

Deals with the interception of communications and governs what government bodies can do and what limits apply. Organisations must be able to show, through auditing, that authorised personnel only access their data.

International standard for records management: ISO 15489

Aims to ensure that appropriate attention and protection is given to all records, and that the evidence and information they contain can be retrieved more efficiently and effectively, using standard practices and procedures.

Code of practice for information security management: ISO 17799

ISO 17799 describes a structured set of control objectives, the implementation of which is guided by an assessment of information security risks. It also proposes a governance framework for the management and implementation of information security.

Information Security Management System requirements: ISO 27001

This is complementary to ISO 17799 and defines the requirements for an Information Security Management System (ISMS). This, effectively, describes the process for creating an ISMS, implementing and managing the governance and controls described in ISO 17799.

Code of practice for Legal Admissibility: BIP 0008

Provides a framework and code of good practice for the implementation and operation of information storage systems, whether or not any information held therein is ever required as evidence in event of a dispute.

e-Government Interoperability Framework: e-GIF

e-GIF defines the technical policies and specifications governing information flows across government and the public sector. They cover interconnectivity, data integration, e-services access and content management.

e-Government Metadata Standard: e-GMS

e-GMS is a subset of the e-GIF and lays down the elements, refinements and encoding schemes to be used by government officers when creating metadata for their information resources or when designing search systems for information systems.

Local Government Classification Scheme

This scheme seeks to achieve control over both electronic and physical records by ensuring that records, whatever their medium, are stored consistently. It aims to achieve this by ensuring that records be logically stored together and thereby “facilitate and enhance the capacity of the organisation to share information”.

Retention Guidelines for Local Authorities - Records Management Society

Guidance for local authorities on the retention and disposal of common functional and housekeeping records. To be used as a baseline to interpret and apply appropriately in accordance with local practice.

Building Systems Fit for Audit: BSI PD 0018

To ensure that information systems can easily be audited.

Code of Practice on the Management of Records, Issued under section 46 of the FOIA

This Code of Practice gives guidance on good practice in records management.

The National Archives' Requirements for Electronic Records Management Systems

Requirements used by TNA's system evaluation programme. Many of the leading systems have been formally assessed and approved against these requirements.

Model Requirements for the Management of Electronic Records: MoReq

Requirements specifications funded by the European Commission. The second version of these requirements, MOREQ2 supersede the TNA requirements as being the principal standard by which such systems are judged.

Appendix C – NLC Records Retention Schedule

Summary

1 Council Tax and Benefits

Retention is generally 6 years plus the current year with periods of between 1 and 3 years for the provision of advice

The following exceptions apply:

Safeguarding children grants - dynamic document continually updated

2 Business & Employment

Retention is generally 1 year, 3 years or 6 years.

The following exceptions apply:

Management of Public Finance Initiative (PFI) projects - 12 years

Accidents involving a minor - 21 years

Reporting of injuries, diseases, dangerous occurrences regulations - 30 years

Occupational health referral files - 85 years

Occupational health surveillance files - 40 years

European funding bids - 10 years to 80 years

Regeneration project management - 12 years

Management of contracts under seal - 12 years

3 Community Safety

Retention is generally 6 years with a period of several months to 5 years in a few cases.

The following exceptions apply:

Training of fire wardens - 7 years

Anti-social behaviour order - 10 years

Sudden death investigation - 15 years

Incidents involving hazardous chemicals - 40 years

Storage & transport of radioactive materials - permanent

Risk assessments to planned extensions to water network - permanent

Register of deaths reported to the coroner - permanent

Works carried out to reduce the likelihood of flooding in areas considered at risk or where there has previously been flooding - permanent

4 Education & Learning

Retention is generally 1 year, 2 years, 3 years, 6 years or 25 years.

The following exceptions apply:

Education consultations - 7 years

Letters refusing applications for home to school transport - 18 years.

5 Environmental Protection

Retention is generally 1 year, 2 years, 3 years, 4 years, 6 years or permanent.

The following exceptions apply:

Swimming pool and spa management - 7 years

Outdoor play facilities - 7 years

Contaminated land - 7 years

Contaminated land - 12 years

Applications for cremation - 15 years

Summary

Exhumations - 15 years
Road spillages - 21 years
Asbestos management - 40 years
Hazardous substance control - 40 years
Environmental policy - 40 years
Commercial & clinical waste disposal - 40 years
Registers, indexes & plans for cemeteries & crematoria - 50 years
Grave purchasing - 75 years

6 Government, Citizens & Rights

Retention is generally 1 year, 2 years, 3 years, 4 years, 5 years, 6 years or permanent.

The following exceptions apply:

Energy certificates - 7 years
Complaints to the Local Government Ombudsman - 10 years
Records disposal schedules - 10 years
Civic recognition and awards - 10 years
Legal case management (foster parents) - 10 years
Development of tourism opportunities - 10 years
Corporate project management - 12 years
Legal contracts founded on speciality - 12 years
Company formation contracts - 12 years
Conveyancing (Acting for vendor on sale of the whole of the title) - 12 years
Loan Consents relating to loans made - 12 years
Recovery of land - 12 years
Certification of buildings (Not listed buildings) - 15 years
Design and construction of buildings (Not listed buildings) - 15 years
Feasibility of the design and construction of buildings - 15 years
School advisory visits - 16 years
Administration of parental leave where the child is disabled - 18 years
Personal risk assessment records for staff working with children or vulnerable adults - 20 years
Accident reporting where the person is aged under 18 at the time of the accident - 22 years
Support for the children of asylum seekers - 25 years
Management of educational welfare support - 25 years
Legal case files relating to obtaining any legal order relating to a child - 25 years
Employer's Liability Insurance Policy - 40 years
Asbestos Register - 40 years
Risk Assessments (relating to hazardous substances) - 40 years
Electricity Exposure Risk Assessment - 40 years
Health Surveillance forms - 40 years
Training concerning children - 40 years
Children's Social Service statutory complaints - 75 years
Individuals who are made redundant - 80 years
Case files relating to Criminal Injuries Compensation Authority Claims - 85 years
Health Referral files - 85 years

7 Health & Social Care

Summary

Retention is generally 1 year, 2 years, 4 years, 6 years or 75 years.

The following exceptions apply:

Contraception - 8 years

Foster parent records - 10 years

Private foster parents - 10 years

Allegations of a child protection nature - 10 years

Risk of offenders to children - 10 years

Data provided by the National Child Measurement Programme (NCMP) - 10 years

Adult residential home purchasing of medical devices & equipment - 11 years

Coroner & death in residential homes - 15 years

Administration of residential care for children and young people (Excluding the register and client records) - 15

Personnel records relating to the employees working in Children's Homes - 15 years

Clients known to mental health teams - 20 years

Integrated health and social care for clients known to the Mental Health teams - 20 years

Management of Mental health support - 20 years

Common assessment framework - 25 years

Employers licenced for childcare - 25 years

Maternity - 25 years

Adult residential home final accounts - 30 years

Child protection case files - 40 years

Adoption process - 100 years

Child protection register - permanent

Register of children in care - permanent

8 Housing

Retention is generally 6 years if there is a financial aspect and vary numbers of months if not.

The following exceptions apply:

Local Authority Mortgage Scheme records - 12 years

Shared Ownership Scheme - 12 years

9 Leisure and Culture

Retention is generally 6 years if there is a financial aspect and various number of months to 3 years if not.

The following exceptions apply:

Management of Special Needs Library facilities - 7 years

Archive Accession Register - Permanent

Catalogues of records held by archives - Permanent

Conservation Register - Permanent

Document Request Tickets - Permanent

Parish Survey Files - Permanent

Deposit, donation or purchase of records held in archives service - Permanent

Maintenance of memorials where the memorial is not a listed building - Permanent

Loans, donations and bequests made to museums and galleries - Permanent

10 Licences, Permits & Permissions

Summary

Retention is generally 6 years if there is a financial aspect and several months to 3 years if not.

The following exceptions apply:

Allocation of child performance licences - 25 years

Registration of petrol vapour recovery - Permanent

Registration of dry cleaning premises where contamination of land is involved - Permanent

Registration of solvent emissions where contamination of land is involved - Permanent

Delivery and storage of fuel - Permanent

Administration of petroleum storage licence schemes - Permanent

11 Marine & Waterway Services

Retention is generally 6 years with a period of several months to 3 years in a few cases.

The following exceptions apply:

Review and maintenance of coastal protection within the local authority area - Permanent

12 Planning & Building Control

Retention is generally 6 years with a period of several months to 3 years in a few cases.

The following exceptions apply:

Process of inspecting building work for the purpose of insuring compliance - 10 years

Development, implementation and monitoring of a Waste Local Plan - 10 years

Process of approving building applications for all other buildings (excluding listed or significant buildings) - 15 years

Planning consultation process - 15 years

Environmental Impact Assessment screening - 15 years

Outline planning consent - 15 years

Planning minor material amendments - 15 years

Planning non-material amendments - 15 years

Planning pre-application advice - 15 years

Planning reserved matters - 15 years

Creation of a Transport Strategy - 15 years

Creation and management of the Building Control Register - Permanent

Process of approving building applications in relation to listed or other significant buildings - Permanent

Planning permission for certain types of advertisements and advertisements in specified areas - Permanent

Management of the planning applications system - Permanent

Creation and implementation of the Community Infrastructure Levy - Permanent

Land Charges Register - Permanent

Creation and implementation of Certificates of Lawful Use or Development - Permanent

Creation and management of Local Development Orders - Permanent

Creation and implementation of Neighbourhood Development Orders - Permanent

Management of public enquiries related to planning issues - Permanent

Creation and implementation of Planning Obligations (also known as Section 106 agreements) - Permanent

Management of the planning applications system - Permanent

Conservation area tree works notification - Permanent

Discharge of planning conditions - Permanent

Lawful Development Certificate proposed use - Permanent

Removal/variation of planning conditions - Permanent

Summary

Conservation advice - Permanent
Conservation areas - Permanent
Listed buildings - Permanent
Neighbourhood development plan - Permanent
Planning decision notices - Permanent
Street names and numbering - Permanent
Community asset transfer - Permanent

13 Transport & Highways

Retention is generally 6 years with a period of several months to 3 years in a few cases.

The following exceptions apply:

Identification of pavement obstructions - 7 years

Reports of personal injury caused by damage and/or hazards on roads and pavements which it is the responsibility of the local authority to maintain where the individual is a minor at the time of the accident - 21 years

Gritting of primary and secondary roads where an accident to a minor is involved - 21 years

Clearance of snow and ice from pavements in severe winter weather conditions where any accident occurs to a minor - 21 years

Claims to change the definitive map - Permanent

Creation Order files - Permanent

Dedications to create a public right of way by agreement - Permanent

Deposit by landowners with the County Council a statement and plan detailing any public rights of way they acknowledge as already existing on their land - Permanent

Diversion of rights of way files - Permanent

Orders and claims to change the definitive map and statements - Permanent

Orders to divert footpaths or bridleways - Permanent

Orders to extinguish footpaths or bridleways - Permanent

Public Rights of Way diversions/extinguishments - Permanent

to create a public right of way by agreement; Applications to make creation orders; Applications to extinguish footpaths or bridleways - Permanent

Register of Prospectively Maintainable Highways - Permanent

Adoption of roads - Permanent

Register of road adoptions and road works - Permanent

Creation of stopping up orders - Permanent

Creation and implementation of orders relating to extinguishment of highway rights - Permanent