

UPPER CLATFORD PARISH COUNCIL

RETENTION POLICY

Adopted on 1 May 2013
Produced and Managed by the Parish Clerk

Record of Adoption, Review and Amendment made to the

Date	Details of adoption, review or amendment
1/5/13	Policy Adopted.

RETENTION AND DISPOSAL SCHEDULE - CONTENTS

REF NO.	DESCRIPTION
2.	CORPORATE PLANNING AND REPORTING
2.1	Strategic Policy/Planning
2.2	Complaints
2.3	Statutory Returns
2.4	Quality and Performance Management
2.5	Public Consultation
2.6	Officers Interests
3.	COUNCIL AND COMMITTEES
3.1	Statutory Meetings
3.2	Informal Meetings
3.3	Members
4.	ELECTIONS
4.1	Conduct of Elections
5.	EMERGENCY PLANNING
5.1	Emergency Planning
5.2	Disaster Recovery and Business Continuity
7.	FINANCE
7.1	Statutory Accounts
7.2	Budgetary Control
7.3	General Income
7.4	General Expenditure
7.5	Loans
7.6	General Financial
7.7	Payroll
8.	HEALTH AND SAFETY
8.1	Inspections and Assessments
9.	HIGHWAYS/TRAFFIC MANAGEMENT
9.1	Transportation Project Files/Traffic Management/Traffic Calming/Street Lighting/Cycleways etc.
10.	HUMAN RESOURCES
10.1	Personnel Administration
10.2	Disciplinary
10.3	Employee Performance and Attendance
11.	INFORMATION TECHNOLOGY
11.1	Systems Design and Maintenance
11.2	Troubleshooting/Advice
12.	INSURANCE
12.1	Policy Management
12.2	Claims Management
REF NO.	DESCRIPTION
13.	LEGAL/ESTATES
13.1	Property Portfolio
13.2	General Legal
13.3	Contracts

14.	LEISURE
14.1	Advice/Arts Developments/Arts and Community Grants/Leisure Centres/Museums/Open Spaces/Tourism/Visitor Information
15.	LICENSING
15.1	Hackney Carriages/Private Hire Vehicles/Charitable Collections/Late Night Refreshments/Lotteries/Public Entertainments etc.
16.	PLANNING
16.1	Planning General
16.2	Production and Implementation of District and Town Plans
16.3	Planning Applications
16.4	Planning Enforcement
17.	PROPERTY AND LAND MANAGEMENT
17.1	Asset Management
17.2	Asset Monitoring and Maintenance
18.	PUBLIC RELATIONS
18.1	Public Relations

REF.	SERVICE/FUNCTION	RECORD TYPES	MINIMUM RETENTION PERIOD	DISPOSAL ACTION Destroy (D), Review (R) Permanent (P) See Guidance	REASON/NOTES
------	------------------	--------------	--------------------------	---	--------------

2.	CORPORATE PLANNING & REPORTING				
-----------	---	--	--	--	--

2.1	Strategic Policy/Planning	Corporate meetings minutes	6 years	R	Review on regular basis. See guidance notices
		Corporate Plans	Permanent	P	Archive
		Strategy/policy/project files	While current	R	Review on regular basis. See guidance notes
		Correspondence day files	3 years	D	
2.2	Complaints	Formal complaints: reports and related papers	5 years after closure of case	R	Local Practice
		Complaints Case Files	5 years after closure of case	R	Local Practice
2.3	Statutory Returns	Reports to Central Government	7 years	D	
2.4	Quality and Performance Management	Service Review	5 years	D	
2.5	Public Consultation	Surveys and Returns	5 years	D	
2.6	Officers Interests	Register of Officers Interests	Permanent	P	Archive

REF.	SERVICE/FUNCTION	RECORD TYPES	MINIMUM RETENTION PERIOD	DISPOSAL ACTION Destroy (D), Review (R) Permanent (P) See Guidance	REASON/NOTES
------	------------------	--------------	--------------------------	---	--------------

3.	COUNCIL AND COMMITTEES				
-----------	-------------------------------	--	--	--	--

3.1	Statutory Meetings	Signed minute books	Permanent	P	Archive
		Reports considered by council and committees	Permanent	P	Archive

		Agenda papers	6 years	D	Local Government (Access to Information) Act 1985
		Background Papers listed in reports	4 years	D	Local Government (Access to Information) Act 1985
		Notes of Officers taking minutes	Destroy once minutes from which they have been prepared have been approved.	D	
3.2	Informal Meetings (e.g. between members and officers)	Meeting minutes/notes leading to executive decisions by Officers	6 years	R	Review on regular basis. See guidance notes
		Meeting minutes/notes leading to Committee items	Destroy once reports to Committees or Council despatched	R	Review on regular basis. See guidance notes
3.3	Members	Register of Members Financial and Other Interests	18 months after the individual ceases to be a member or where superseded by a more up to date form	D	Standards Board
		Members Interests Declared at Meetings	Permanent	P	Declarations – Now included in Minutes of Meetings
		Members Allowances	3 years	D	Local Practice
REF.	SERVICE/FUNCTION	RECORD TYPES	MINIMUM RETENTION PERIOD	DISPOSAL ACTION Destroy (D), Review (R) Permanent (P) See Guidance	REASON/NOTES
4.	ELECTIONS				
4.1	Conduct of Elections	Declaration of Results/Consolidated returns of votes received (Local Elections only)	6 months from date of elections	D	Copies of documents issued by Returning Officer. Disposal to be in accordance with his statutory timetable of 6 months.
5.	EMERGENCY PLANNING				

5.1	Emergency Planning	Reports/papers/plans relating to implementation of plans for specific incidents	6 years after event	R	Consider passing to archives
5.2	Disaster Recovery and Business Continuity	Business Continuity Plan (when prepared)	Retain while current	R	Consider passing to archives Local Practice

7.	FINANCE				
-----------	----------------	--	--	--	--

7.1	Statutory Accounts	Published final annual corporate accounts	Permanent	P	Archive
7.2	Budgetary Control	Prepared and/or published annual corporate revenue and capital budgets	Permanent	P	Archive
		Budgetary control papers	2 years plus current financial year	D	Local Practice
		Estimates working papers	2 years plus current financial year	D	Audit Trail

REF.	SERVICE/FUNCTION	RECORD TYPES	MINIMUM RETENTION PERIOD	DISPOSAL ACTION Destroy (D), Review (R) Permanent (P) See Guidance	REASON/NOTES
------	------------------	--------------	--------------------------	---	--------------

	FINANCE Cont.				
--	----------------------	--	--	--	--

7.3	General Income	Primary documents supporting a payment to the authority, including receipt books, copy receipts or cash register rolls	6 years plus current financial year	D	VAT/Audit. Local dispensations may reduce retention periods of some documents
		Copy invoices issued by the authority – paid	2 years plus current financial year	D	Audit Trail
		Primary documentation of sundry debts (unpaid	6 years plus current financial year	D	Statute of Limitations

		invoices etc)			
		Proofs of delivery to customer or client	2 years plus current financial year	D	Audit Trail
7.4	General Expenditure	Proofs of payments made by the authority, including receipts, cheque stubs, rail warrants etc	6 years plus current financial year	D	VAT/Audit Trail. Local dispensations may reduce retention periods of some documents.
		Vouchers, including invoices	6 years plus current financial year	D	VAT/Audit Trail. Local dispensations may reduce retention periods of some documents.
		Purchase orders, requisitions for goods/services	2 years plus current financial year	D	VAT/Audit Trail. Local dispensations may reduce retention periods of some documents.
		Cheque registers	6 years plus current financial year	D	Statute of Limitations
		Presented cheques	6 years plus current financial year	D	Statute of Limitations
REF.	SERVICE/FUNCTION	RECORD TYPES	MINIMUM RETENTION PERIOD	DISPOSAL ACTION Destroy (D), Review (R) Permanent (P) See Guidance	REASON/NOTES
FINANCE Cont.					
7.5	Loans	Loan Files	7 years following repayment of loan	D	Statutory
		Loan Register	Permanent	P	Archive
7.6	General Financial	Internal audit reports	6 years plus current financial year	D	
		External audit reports	6 years plus current financial year	D	
		Banking – cashier’s collection and deposit book	6 years plus current financial year	D	

		Bank statements	6 years plus current financial year	D	Statute of Limitations
		Reconciliations	2 years after administrative use concluded	D	RMS
		Write Off schedules and supporting paperwork	6 years plus current financial year	D	Local
7.7	Payroll	Payroll (electronic or manual)	6 years plus current year	D	Tax
		Claim forms and timesheets (overtime, expenses etc)	2 years plus current financial year	D	Audit
		Copy pay advices (pay slips)	6 years plus current financial year	D	Superannuation/tax
		Individual pay files	Indefinitely for pension purposes	D	Superannuation
		Year end payroll tabulations/totals	6 years plus current financial year	D	Tax
REF.	SERVICE/FUNCTION	RECORD TYPES	MINIMUM RETENTION PERIOD	DISPOSAL ACTION Destroy (D), Review (R) Permanent (P) See Guidance	REASON/NOTES
8.	HEALTH AND SAFETY				
8.1	Inspections and Assessments	Equipment Inspection Records	6 years from destruction of equipment	D	Statutory (RMS)
		Property Asbestos Files/Register	40 years from last action	D	(RMS) Common practice based on statutory requirements
		Risk Assessments	3 years from last assessment	D	Statutory (RMS)
		Accident Books – Injuries to Adults	3 years from closure	D	Statutory (RMS)

		Accident Books – Injuries to Children	25 years from closure	D	Statutory (RMS)
--	--	---------------------------------------	-----------------------	---	-----------------

9.	HIGHWAYS/TRAFFIC MANAGEMENT				
-----------	------------------------------------	--	--	--	--

9.1	Transportation Project Files/Traffic Management/Traffic Calming/Street Lighting/Cycleways etc	Copies of documentation of major projects by Principal Authorities	5 years after completion of project	R	Files relating to minor projects and annual programmes retained until works complete by Principal Authorities. Local Practice
		Permanent TRO	Permanent	P	Archive
		Temporary TRO	Retain while current	R	Local Practice
		Copy Agreements/Licences	Retain while current (at least until Licence period ends)	R	Local Practice

REF.	SERVICE/FUNCTION	RECORD TYPES	MINIMUM RETENTION PERIOD	DISPOSAL ACTION Destroy (D), Review (R) Permanent (P) See Guidance	REASON/NOTES
------	------------------	--------------	--------------------------	---	--------------

10.	HUMAN RESOURCES				
------------	------------------------	--	--	--	--

	Payroll – see FINANCE				
--	------------------------------	--	--	--	--

10.1	Personnel Administration	Employment Register Salary Master File	Permanent	P	
		Personal files (Not records containing Superannuation information i.e. Payroll Files)	6 years plus current financial year (after departure)	D	
		Records relating to staff	25 years after termination	D	

		working with Children			
		Subject based filing (e.g conditions of service, policies, industrial relations)	Retain while current employee plus 1 year after departure	R	Review on regular basis. See guidance notes.
		Application forms (unsuccessful)	6 months	D	
10.2	Disciplinary	Disciplinary and grievance investigation records where proved including: Oral Warning Written Warning Final Warning	Retain for period of employment	D	
		Disciplinary and grievance investigation records where unfounded	Retain for period of employment	D	
REF.	SERVICE/FUNCTION	RECORD TYPES	MINIMUM RETENTION PERIOD	DISPOSAL ACTION Destroy (D), Review (R) Permanent (P) See Guidance	REASON/NOTES
	HUMAN RESOURCES CONT				
10.3	Employee Performance and Attendance	Performance Development Interview Leave and attendance records including: Sick Leave Jury Service Study Leave Flexitime sheets Leave Cards	5 years after action complete 2 years plus current	D D	

11. INFORMATION TECHNOLOGY					
11.1	System design and maintenance	System documentation	Permanent for life of system including statutory requirements	R	Local Practice
		System and Operating Procedures	Retain while current	D	Local Practice
11.2	Troubleshooting/Advice	Register of calls	Delete entries after 3 years	D	

12. INSURANCE					
12.1	Policy Management	Insurance Register	Permanent	P	
		Insurance Policies and Correspondence	7 years after terms of the policy have expired	D	
		Policy renewal records and correspondence	5 years after the insurance policy has been renewed	D	
12.2	Claims Management	Claim records and correspondence	7 years after all obligations/entitlements are concluded (allowing for the claimant to reach 25 years of age)	D	
REF.	SERVICE/FUNCTION	RECORD TYPES	MINIMUM RETENTION PERIOD	DISPOSAL ACTION Destroy (D), Review (R) Permanent (P) See Guidance	REASON/NOTES

13. LEGAL/ESTATES					
13.1	Property portfolio	Purchase files	Retain whilst land owned plus 6 years thereafter	R	
		Sales files	12 years after completion	D	
		Easement files	12 years after completion	D	
		Lease files/evidence of leasehold title	6 years after expiry of lease (12 years if under seal). Any document forming part		

			of title to be permanently retained		
		Deeds if freehold properties	Keep until property transferred to new ownership	R	
13.2	General legal	Civil Litigation files	6 years after last hearing	R	
		Prosecution files	6 years after last hearing	R	
		Section 106 agreements (planning)	Permanent (relevant correspondence 6 years)	P	Local Practice
		Tree preservation orders	Permanent	P	Local Practice
13.3	Contracts	Register or other formal record of tenders and quotations	Permanent	P	Archive
		Unsuccessful tenders and quotations	2 years plus current financial year	D	Audit
		Contract register	Permanent	P	Archive
REF.	SERVICE/FUNCTION	RECORD TYPES	MINIMUM RETENTION PERIOD	DISPOSAL ACTION Destroy (D), Review (R) Permanent (P) See Guidance	REASON/NOTES
LEGAL/ESTATES CONT					
		Contract documents	12 years after period of obligation (if under seal) 6 years after period of obligation (if not sealed)	R	Statute of Limitations. All sealed contracts to be retained by Legal. Supporting files to be retained for same period by originating department. (Local) Consider passing documents relating to significant contracts to archives.
		Contract final accounts	12 years plus current	D	Statute of Limitations

			financial year		
--	--	--	----------------	--	--

14.	LEISURE				
14.1	Open spaces/Play Parks	Subject based filing	Retain while current	R	Review on regular basis. See guidance notes

REF.	SERVICE/FUNCTION	RECORD TYPES	MINIMUM RETENTION PERIOD	DISPOSAL ACTION Destroy (D), Review (R) Permanent (P) See Guidance	REASON/NOTES
16.	PLANNING				
16.1	Planning – general	Published planning guidance leaflets and booklets, prepared by TVBC affecting the village	Permanent – one copy of each	P	Archive
		Published development briefs for village	Permanent – one copy of each	P	Archive
		Planning topic files (e.g. countryside, listed buildings, housing, employment, transport)	Retain while current	R	Review on regular basis. See guidance notes.
16.2	Production and implementation of District and town plans	Initial deposited local plan	Permanent – one copy	P	Archive
		Revised deposited local plan	Permanent – one copy	P	Archive
		Objector's proofs of evidence (deposited prior to public inquiry)	Retain until Local Plan to which it relates is superseded then review	R	
		Authority's proofs of	Retain until Local Plan to	R	

		evidence	which it relates is superseded then review		
		Topic Papers prepared by the Authority (deposited prior to enquiry)	Retain until Local Plan to which it relates is superseded then review	R	
REF.	SERVICE/FUNCTION	RECORD TYPES	MINIMUM RETENTION PERIOD	DISPOSAL ACTION Destroy (D), Review (R) Permanent (P) See Guidance	REASON/NOTES
PLANNING Cont.					
		Deposited statement of agreed fact	Retain until Local Plan to which it relates is superseded then review	R	
		Public enquiry: inspector's report	Permanent	P	Archive
		Adopted local plan	Permanent	P	Archive
		Correspondence re local plan	Retain until Local Plan to which it relates is superseded then review	R	Archive
16.3	Planning Applications	Planning application files (paper post 1974). <i>These form Part I of Planning Register held by District Council</i>	Permanent	P	Latent Damage Act allows 15 years to commence proceedings. Consider passing papers of significant schemes to archives. Statutory obligation for District Council to retain Planning Register permanently.
		Planning registers. Card indexes and other finding aids	Permanent	P	Archive
16.4	Planning enforcement	Case details	6 years	P	Copy documents only – NFDC is planning authority

17. PROPERTY AND LAND MANAGEMENT					
17.1	Asset Management	Asset Register and Property Terrier	Permanent	P	
		Asset Management Plan	Permanent	P	(Local)
REF.	SERVICE/FUNCTION	RECORD TYPES	MINIMUM RETENTION PERIOD	DISPOSAL ACTION Destroy (D), Review (R) Permanent (P) See Guidance	REASON/NOTES
PROPERTY AND LAND MANAGEMENT Cont.					
17.2	Asset Monitoring and Maintenance	Inventories Stocktaking Acquisition and disposal reports and proposals	2 years after administrative use is concluded	D	
		Service records of plant and equipment	7 years after sale or disposal of asset	D	
		Records relating to the process of acquisition Vehicles: Leases Contracts Quotes Fleet Authorisation Numbers	7 years after sale or disposal of vehicle		
		Vehicle Maintenance Log Vehicle Log detailing drivers usage	7 years after sale or disposal of vehicle	D	
18. PUBLIC RELATIONS					
18.1	Public relations	Formal record of civic events, including	6 years	R	Consider passing to archives

		photographs			
		Press releases	6 years	R	

