



Retention and Disposal Schedule

Directorate of Place

April 2018
London Borough of Tower Hamlets

VERSION CONTROL

| Version | Date | Author | Description |
|---------|--------------------------|-------------------------------------|--|
| 1 | 05/07/2013 | Joytun Akther | Working draft adapted from the IRMS guidelines |
| 2 | 04/12/2013 12/12/2013 | Malcolm Barr Hamilton Dave Clark | Local History Library and Archives (LHLA) review Directorate review |
| 3 | 23/04/2014 | Joytun Akther | First full version |
| 4 | 11/04/2018 | Joytun Akther | Two-yearly review/restructure LHLA review |



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Date

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1 SUMMARY

- 1.1 Tower Hamlets Council is required by the Code of Practice on the Management of Records (issued under Section 46 of the Freedom of Information Act 2000) to have and to implement a records retention and disposal schedule.
- 1.2 Records are defined as *'information created, received, and maintained as evidence and/or information by an organisation or person, in pursuance of legal obligations or in the transaction of business'*.

2 OBJECTIVES

- 2.1 The purpose of this schedule is to:
- i prevent the premature destruction of records that need to be retained for a specified period to satisfy legal, financial and other requirements of public administration
 - ii assist in identifying records that may be worth preserving permanently as part of Tower Hamlet's local history and archives
 - iii provide consistency for the destruction of those records not required permanently after specified periods
 - iv Promote improved records management practices

3 SCOPE

- 3.1 This schedule sets out the legislation, guidance and best practice regarding record retention and disposal, and incorporates retention guidelines as issued by the Information and Records Management Society (IRMS).
- 3.2 This schedule forms part of the Council's Information Governance Framework. It should be read in conjunction with the:
- The Records Management Policy
 - Data Disposal Guidelines
- 3.3 This schedule has been developed by the Information Governance Team in consultation with Business Areas/Section Managers and Legal Services.
- 3.4 This schedule applies to all records held as recorded information by the Council (including paper, electronic, microform, audio-visuals etc. and copies and backups), which are created, collected, processed, used, stored and/or disposed of by the Council's employees, partners and agents in the course of the Council's business activities.
- 3.5 The schedule is intended to cover the continuum of records and information from creation through to destruction or for retention for historical or research purposes.

4 ROLES AND RESPONSIBILITIES

4.1 This schedule provides consistent instructions for all staff who deal with records, and a formal policy for records retention and disposal.

4.2 All staff are responsible for:

- Following procedures and guidelines for managing, retaining and disposing of records.
- Only disposing of records in accordance with the requirements outlined in this schedule (if authorised to do so).
- Ensuring that any proposed divergence from records retention and disposal policies is authorised.

4.3 Business area managers and section managers are responsible for ensuring:

- Record retention policies are implemented in their area/team, supported by written procedures.
- Record keeping systems and arrangement of records enable identification of records due for disposal.
- Records due for disposal are routinely identified and reviewed to ensure they are no longer required.
- Staff dispose records only in accordance with Council policies.
- Records are disposed of appropriately considering their sensitivity, security classification and the media and format(s) in which they are held in line.
- ICT equipment and storage media are disposed of securely ensuring all records, data and information are removed in such a way that it is not recoverable.
- Records of potential historic interest or research value are identified and transferred with agreement to LHLA.
- Evidence of the disposal process is kept.

5 LEGAL REQUIREMENTS

5.1 The retention and disposal schedule details the specific legislation, regulations, guidelines or codes of practice that stipulate or recommend how long records must be kept before they are disposed of. Where no such legislation or guidance exists, Directorates have been consulted to determine the retention requirements that best suit each business activity.

5.2 Some overarching legislation requires that records be kept for a certain amount of time and applies to all Directorates and sections of the Council. These include:

5.3 Freedom of Information Act 2000

The Act is intended to promote a culture of openness and accountability amongst public authorities by providing people with rights of access to records held by the Council. The Code of Practice sets out rules on how the Council should manage records and information, including responsibilities on all staff to implement records retention and disposal schedules.

5.4 Data Protection Act (DPA) 1998

The Act requires that personal data shall be:

- i adequate, relevant and not excessive*
- ii accurate and where necessary kept up to date*
- iii not kept for longer than is necessary for its purpose*

These three principles require the Council to have procedures in place, covering the review of information held.

5.5 The **General Data Protection Regulation** (GDPR) comes in to force from May 2018 and will supersede the existing DPA. It requires under Article 5 (Principles relating to processing of personal data) that personal data shall be:

- i adequate, relevant and limited to what is necessary in relation to the purposes for which they are processed ('data minimisation');*

The GDPR raises the threshold from the data controller being limited to processing that is not excessive to only enabling the data controller to process data that is necessary.

- ii accurate and, where necessary, kept up to date ('accuracy');*

The data controller is required to take reasonable steps to ensure the accuracy of the data. The qualification of 'reasonableness' is now expressly contained within the principle.

- iii not kept longer than is necessary for the purpose ('storage limitation')*

- 5.6 The GDPR expands on the list of exemptions to this principle. It permits the storage of data for longer periods than necessary where the data is being processed for archiving purposes in the public interest and/or scientific purposes, this is in addition to the statistical or historical purposes covered in the DPA.
- 5.7 Retention and disposal schedules assist with compliance under the Data Protection legislation, which requires the Council to keep personal data no longer than is necessary for the purpose for which it was collected. The time limits for keeping records are based on statutory requirements, common business practice, and national guidance and best practice.
- 5.8 In some parts of the schedule the recommended retention period given is 6 years. This is based on the 6 year time limit within which legal proceedings must be commenced as laid down in the Limitation Act 1980. It should also be noted that under this Act, civil action could be taken up to 12 years following certain events.

5.9 The Local Government Act 2000

Section 22 of the Act requires that written records of a local authority executive or a committee of such an executive are made available to the public.

6 RECORDS RETENTION AND DISPOSAL POLICY

6.1 Disposal of records

- 6.1.1 Where records have been identified to be destroyed it should be done in a responsible way, and in accordance with the Data Disposal Guidelines.
- 6.1.2 Backup copies stored on alternative media (server/microfilm/paper) should also be destroyed. This is vital to ensure compliance with the requirements of Data Protection and Freedom of Information legislation.
- 6.1.3 Whenever there is the possibility of litigation, the records and information that are likely to be affected should not be amended or disposed of until the threat of litigation has been removed.
- 6.1.4 All records containing personal information, or sensitive information should be disposed securely after administrative use is concluded.
- 6.1.5 When records identified for disposal in the schedule are destroyed, a register of such records needs to be kept. For records not covered by the schedule contact the Council's Information Governance Team for further advice. It is not sufficient to document that a quantity of records had been destroyed on a certain date. Enough details should be retained to identify which records have been destroyed. Such records of destruction need to be maintained by the business area.
- 6.1.6 Staff should record at least:
- i File/folder reference (or other unique identifier)
 - ii File/folder title (or brief description) *e.g. xxx records 2004 to 2005*
 - iii Number of files/size of folder
 - iv The name of the authorising officer
 - v Date of destruction

6.2 Transfer of records to archival storage for permanent retention

There are records in this schedule which have been identified as being worthy of permanent preservation by Local History Library and Archives (LHLA). These records are indicated as '**Permanent. Transfer to LHLA after administrative use is concluded**'. Business areas wishing to transfer permanent records to archives custody should contact LHLA for further information on transfer procedures on 020 7364 1271 or email localhistory@towerhamlets.gov.uk

- 6.2.1 The Archivist may choose to select a sample of the records for permanent preservation in the archives; the remainder should be destroyed as specified in the schedule. The sample may be random, selective or purposeful.

6.2.2 The Data Protection legislation provides an exemption for information about identifiable living individuals that is held for research, statistical or historical purposes to be held indefinitely, provided specific requirements are met. It is the responsibility of the Archivist to ensure that this is so.

6.3 **Transfer of records to archival storage for review**

6.3.1 There are some records where the Archivist will not usually be interested in retaining them all permanently, but may wish to retain those concerning high profile or controversial policies/projects. These records are indicated as '**Offer to LHLA for review after administrative use is concluded**'.

6.3.2 Records no longer required for administrative use may still retain sensitive information. The Archivist should be informed of sensitivity at the time of transfer of the material to the archives, and an appropriate closure period agreed. The closure period is the period that Archives must wait until the information can be made publicly available (due to the sensitivities that it relates to decreasing over the course of time).

6.4 **Transfer of records to off-site storage**

It is rarely possible to retain files on-site for the length of time for which they have to be retained. Contact Facilities Management at archive.section@towerhamlets.gov.uk for off- site storage queries and requests.

7 **REVIEW/SIGN OFF**

7.1 The Retention and Disposal Schedule will be reviewed every two years, for approval by Information Governance Group (IGG) and sign off by the Corporate Information Governance Board, and owned by the SIRO.

7.2 It will be amended as and when details change due to Council policy, if new information is created, to remove any obsolete record titles, or regulations and legislation that govern information and its use are introduced or altered.

8 EXPLANATION OF RETENTION GUIDELINES HEADINGS

- 8.1 **Ref:** The function or entry reference number provides citation and ease of reference
- 8.2 **Function:** The name of each function is specified in this entry. This relates to a group of records that perform the same activity.
- 8.3 **Function description:** The Schedule provides notes that define each function in terms of the related activities.
- 8.4 **Retention action:** This entry provides the archival status of each process being either permanent or temporary. In relation to the temporary status of records the entry also provides a retention period or sentence specifying how long the records should be kept prior to destruction and the activity, transaction or event to which the retention period or sentence should be tied.
- 8.5 **Example of records:** The section provides common examples of the type of records included within the particular function. This list is not exhaustive.
- 8.6 **Notes:** This indicates if the retention action is common practice or statutory, and/or the authority guiding the retention period.

9 GLOSSARY OF TERMS

- 9.1 **Administrative Use.** When business use has been ended or the file has been closed.
- 9.2 **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.
- 9.3 **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 and Freedom of Information Acts.
- 9.4 **Common practice.** Standard practice followed by those local authority records managers who are members of the Records Management Society.
- 9.5 **Last action.** 'Destroy 'x' years after last action '. Date of most recent amendment / addition /deletion of information.
- 9.6 **Permanent.** Records which must be kept indefinitely [or for approximately 100 years] for legal and/or administrative purposes, and/or are of enduring value for historical research purposes and so suitable for transfer to the authority's archive or place of deposit.

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| 1 CLEAN AND GREEN | | | | |
|--------------------------|---|--|--|-----------------|
| REF | FUNCTION DESCRIPTION | RETENTION ACTION | EXAMPLES OF RECORDS | NOTES |
| 1.1 | WASTE COLLECTION | | | |
| 1.1.1 | Hazardous waste The disposal of hazardous waste as defined in the Hazardous Waste Directive 2005 and the European Waste Catalogue | Destroy 6 years after last action | <ul style="list-style-type: none"> • Business records | Common practice |
| 1.1.2 | Domestic waste The process of arranging the collection or transportation of household waste | Destroy 2 years after last action | <ul style="list-style-type: none"> • Business records | Common practice |
| 1.1.3 | Commercial waste The process of arranging the collection or transportation of commercial waste | Destroy 2 years after last action | <ul style="list-style-type: none"> • Business records | Common practice |
| 1.2 | WASTE DISPOSAL AND REDUCTION | | | |
| 1.2.1 | Management of sites The summary management of sites used for disposal of waste within the local authority | High level management records – Permanent . Transfer to LHLA after administrative use is concluded. | <ul style="list-style-type: none"> • Business records | Common practice |
| 1.2.2 | The process of short term storage of household waste | Destroy 10 years after site closure | <ul style="list-style-type: none"> • Transfer sites | Common practice |
| 1.2.3 | Permits Permits issued covering the use of waste sites | Destroy 6 years after permit expires | <ul style="list-style-type: none"> • Business records • License applications • Monitoring records | Common practice |

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| 1.2.4 | Composting The treatment of biodegradable waste, either aerobically or anaerobically to produce a product that can be reused as either compost or a soil improver | Destroy 6 years after permit expires | <ul style="list-style-type: none"> • Business records | Common practice |
| 1.2.5 | Recycling The establishment of public recycling receptacles | Destroy 6 years after use | <ul style="list-style-type: none"> • Business records • Asset register | Common practice |
| 1.3 | STREET CLEANING | | | |
| 1.3.1 | Road cleansing The cleaning of public roadways | Destroy 6 years after last action | <ul style="list-style-type: none"> • Business records • Contract monitoring records • Response actions' records | Common business practice, based on the 6 years legal proceedings time limit |
| 1.3.2 | Hazard removal Including removal of dead animals, oil spills etc. | Destroy 6 years after last action | <ul style="list-style-type: none"> • Business records | As above |
| 1.4 | ENFORCEMENT AND INTERVENTION | | | |
| 1.4.1 | Enforcement activities Information on actions on enforcement activities. Including information shared with police and other agencies place | Destroy 6 years after closure of the activity | <ul style="list-style-type: none"> • Fixed penalty notices (FPN) • Written warnings • Investigation reports • Courts records | Common practice |
| 1.4.2 | CCTV and body camera footages, and digital camera pictures Digital images captured for potential criminal prosecutions | Destroy after 30 days if there is no prosecution Destroy 6 years after closure of the prosecution | <ul style="list-style-type: none"> • Recording of incidents | Common practice |
| 1.4.3 | Anti-social behavior (ASB) Process of investigating ASB reporting | Destroy 6 years after closure of the activity | <ul style="list-style-type: none"> • Investigation records • Case papers • Courts records | Common practice |

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| 1.4.4 | Animal Warden Activities of the animal warden service | Destroy 6 years from last action | <ul style="list-style-type: none"> • Stray dogs record • Enforcement records • Micro chipping records | Common practice |
| 1.4.5 | Animal nuisance Investigations and reports on complaints regarding animals | Destroy 6 years from last action | <ul style="list-style-type: none"> • Investigation records • Reports • Enforcement notices | Common practice |
| 1.5 | HIGHWAYS ENFORCEMENT | | | |
| 1.5.1 | The process of enforcing infrastructure and transport regulations | Destroy 50 years after enforcement notice. Destroy 3 years after compliance with enforcement notice | | Common practice |
| 1.5.2 | Hoarding/scaffolding licences | Destroy 7 years after registration lapses | <ul style="list-style-type: none"> • Application | Common practice |
| 1.5.3 | Road reinstatement Related to the reinstatement of roadways by utilities companies and Councils' contractors | Destroy 12 years after action completed | <ul style="list-style-type: none"> • Application • License | Common practice |
| 1.6 | INFRASTRUCTURE MANAGEMENT AND MAINTENANCE | | | |
| 1.6.1 | The activity of providing municipal services in relation to infrastructure within the local authority | Destroy 6 years after last action | <ul style="list-style-type: none"> • Street files • Street records Requests for: <ul style="list-style-type: none"> • Hedge clipping • Tree planting MH • Naming of streets • Numbering of houses • Street load limits • Street signs • Bus shelters mc • Applications to dig up | Common practice |

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| | | | Pavements Ashraf Ali <ul style="list-style-type: none"> • HGV application • Advice/comment • Level crossings • Right of ways • Roundabouts • Traffic calming measures • Street lighting | |
| 1.7 | ROAD MAINTENANCE | | | |
| 1.7.1 | The activity of maintaining and repairing roads, streets, bridges, bridle paths, rights of way and tunnels | Destroy 12 years after action completed | <ul style="list-style-type: none"> • Business records • Plans • Specifications • Inspection records • Repairs records • Maps | Common practice |
| 1.7.2 | Abnormal loads Consent for moving abnormal load | Destroy 5 years after consent given | <ul style="list-style-type: none"> • Routes and plans • Risk assessments | Common practice |
| 1.7.3 | Gritting and snow clearance Keeping roads and pavements clear when weather conditions may prove hazardous | Destroy 6 years after last action | <ul style="list-style-type: none"> • Business records | Common practice |

| 2 INFRASTRUCTURE AND TRANSPORT | | | | |
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| REF | FUNCTION DESCRIPTION | RETENTION ACTION | EXAMPLES OF RECORDS | NOTES |
| 2.1 | PLANNING AND DEVELOPMENT | | | |
| 2.1.1 | The activity of developing a vision and strategic directions regarding existing transport and infrastructure | Permanent. Transfer to LHLA after administrative use is concluded. | <ul style="list-style-type: none"> • Structure Plan • Local transport plan | Common practice |
| 2.1.2 | The activity of recording location of highways, bridle paths and rights of way | Permanent. Transfer to LHLA after administrative use is concluded. | <ul style="list-style-type: none"> • Definitive maps of public rights of way • Correspondence concerning enquiries and disputes | Common practice |
| 2.1.3 | The activity of establishing planning scheme controls and providing for them to be amended and modified | Permanent. Transfer to LHLA after administrative use is concluded. | <ul style="list-style-type: none"> • Road adoption agreements • Legal documentation • Maintenance agreement • Plans and maps | Common practice |
| 2.1.4 | The process of receiving, considering and responding to submissions and objections to planning schemes and amendments | <p>High profile schemes – Permanent. Transfer to LHLA after administrative use is concluded.</p> <p>Destroy 7 years after decision</p> | <ul style="list-style-type: none"> • Enquiries, consultation documents, objections and correspondence | |
| 2.2 | TRAFFIC MANAGEMENT | | | |
| 2.2.1 | The activity of planning, and programming the continued flow, diversion or reduction of traffic | Destroy 7 years after action completed | <ul style="list-style-type: none"> • Traffic orders | Common practice |
| 2.3 | DESIGN AND CONSTRUCTION | | | |
| 2.3.1 | The activity of planning, designing, programming and constructing roads, streets, bridges, and tunnels | Permanent. Transfer to LHLA after administrative use is concluded. | | Common practice |

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| 2.4 | ROAD SAFETY | | | |
| 2.4.1 | Accident investigations Investigations into road traffic accidents for the purposes of improving road safety | Destroy 7 years after administrative use is concluded | <ul style="list-style-type: none"> • Reports • Database | Common practice |
| 2.4.2 | Road safety awareness | Destroy 7 years after administrative use is concluded | <ul style="list-style-type: none"> • Business records | Common practice |
| 2.4.3 | Safety audits Audits/inspections of highways from a road safety perspective | Destroy 7 years after administrative use is concluded | <ul style="list-style-type: none"> • Business records | Common practice |
| 2.4.4 | School crossing patrols | Destroy 3 years after administrative use is concluded | <ul style="list-style-type: none"> • Business records | Common practice |
| 2.4.5 | Monitoring Highway, transport and traffic use | Destroy 4 years after last action | <ul style="list-style-type: none"> • Business records | Common practice |
| 2.4.6 | School routes The activity of planning and programming the continued safety of school routes | Destroy 4 years after last action | <ul style="list-style-type: none"> • Business records | Common practice |
| 2.4.7 | Traffic calming The management and control of traffic calming measures | Destroy 4 years after last action | <ul style="list-style-type: none"> • Business records | Common practice |
| 2.4.8 | Traffic reduction The activity of planning and programming the continued flow, diversion or reduction of traffic | Destroy 4 years after last action | <ul style="list-style-type: none"> • Business records | Common practice |
| 2.4.9 | Implementation of road traffic orders | Destroy 4 years after last action | <ul style="list-style-type: none"> • Implementation | Common practice |

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| 2.5 | TRANSPORT PLANNING | | | |
| 2.5.1 | Transport modelling The carrying out of transport modelling projects | Destroy 7 years after last action | <ul style="list-style-type: none"> • Traffic counts • Project documentation | Common practice |
| 2.5.2 | Travel plans | Destroy 5 years after administrative use | <ul style="list-style-type: none"> • Employer travel plans • School travel plans | Common practice |
| 2.6 | PUBLIC TRANSPORT | | | |
| 2.6.1 | The activities involved in the management and provision of public transport | Destroy 3 years after superseded or last action | <ul style="list-style-type: none"> • Customer and industry liaison • Timetable and routes • Maps | Common practice |
| 2.7 | TRANSPORT FLEET MANAGEMENT | | | |
| 2.7.1 | The process of acquisition and disposal of vehicles through lease or purchase | Destroy 7 years after the disposal of the vehicle | <ul style="list-style-type: none"> • Leases • Contracts • Quotes • Approvals • Fleet authorisation numbers | Common practice |
| 2.7.2 | The process of managing allocation and maintenance of vehicles | Destroy 7 years after the sale/disposal of the vehicle | <ul style="list-style-type: none"> • Approvals as drivers • Allocations and authorisations for vehicles • Maintenance | Common practice |
| 2.7.3 | Recording vehicle usage | Destroy 5 years after the sale/disposal of the vehicle | <ul style="list-style-type: none"> • Vehicle usage reports • Servicing schedule • Smart hire records | Common practice |
| 2.7.4 | Recording drivers usage | Destroy 3 years after the sale/disposal of the vehicle | <ul style="list-style-type: none"> • Vehicle log book | Common practice |
| 2.7.5 | MOT testing By accredited Council garages | Retain for a minimum of 15 months from creation | <ul style="list-style-type: none"> • Vehicle inspection sheets • MOT test certificate | Common practice |

3 ENVIRONMENTAL HEALTH AND TRADING STANDARDS

| REF | FUNCTION DESCRIPTION | RETENTION ACTION | EXAMPLES OF RECORDS | NOTES |
|------------|--|---|--|-----------------|
| 3.1 | HEALTH AND SAFETY | | | |
| 3.1.1 | Inspections and assessments Process of inspecting equipment to ensure it is safe | Destroy 6 years from destruction of the equipment | <ul style="list-style-type: none"> Equipment inspection records | Statutory |
| 3.1.2 | Process of carrying out monitoring to ensure that the process is safe | Destroy 6 years from last action | <ul style="list-style-type: none"> Monitoring results | Statutory |
| 3.1.3 | Process of monitoring of areas where employees and persons are likely to have become in contact with asbestos | Destroy 40 Years from last action | <ul style="list-style-type: none"> Property asbestos files | Statutory |
| 3.1.4 | 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 | <ul style="list-style-type: none"> Radon monitoring | |
| 3.1.5 | Process to ensure safe systems of work | Retain until superseded or process ceases +1 year | | Common practice |
| 3.1.6 | Process to assess the level of risk | Destroy 3 years from last assessment | <ul style="list-style-type: none"> Risk assessment | Statutory |
| 3.1.7 | Processes that permit work | Destroy 1 year from last action | | Common practice |
| 3.1.8 | Process that records injuries to adults | Destroy 3 years from closure | <ul style="list-style-type: none"> Accident books | Statutory |
| 3.1.9 | Process that records injuries to children | Destroy 25 years from closure | <ul style="list-style-type: none"> Accident books | Statutory |
| 3.2 | ANIMAL AND PEST CONTROL | | | |
| 3.2.1 | Animal control Activities to reduce the risk to human health from domesticated animals and/or the premises where they are kept | Destroy 6 years from last action | <ul style="list-style-type: none"> Risk assessments Control orders | Common practice |

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| 3.2.2 | Pest control The management and control of pests | Destroy 6 years from last action | <ul style="list-style-type: none"> • Treatment records • Notices | Common practice |
| 3.3 | REGISTRATION, CERTIFICATION AND LICENSING | | | |
| 3.3.1 | Summary management systems that allow the monitoring and management of registration, certification and licenses registration requirements in summary form | Permanent. Transfer to LHLA after administrative use is concluded. | <ul style="list-style-type: none"> • Registers | |
| 3.3.2 | The administration of applications, registration, certification and licenses in relation to the local authority's registration requirements | Destroy 6 years after registration or entitlement lapses | <ul style="list-style-type: none"> • Applications for animal registration • Applications for registration of a business premises • Applications for release of animals impounded • Registers • Certificates of registration of: <ul style="list-style-type: none"> - door supervisors - taxi drivers - beauty therapists • Animal movement licences • Gaming • Fire certification • Disabled parking permits • Blue badge • Registration to sell poison | Statutory |
| 3.3.3 | The process involved in licensing sites for the holding or use of toxic or hazardous substances (including petroleum, agricultural chemical products or herbicides) | Permanent. Transfer to LHLA after administrative use is concluded - 60 years after registration or entitlement lapses | <ul style="list-style-type: none"> • Diesel licences • Petroleum licences • Health and safety licensing • Hazardous substances • Contaminated land register/pollution | Common practice |

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| 3.4 | NOTIFICATION | | | |
| 3.4.1 | The process of issuing notices to citizens with respect to particular responsibilities | Destroy 6 years after the matter is concluded | <ul style="list-style-type: none"> • Fire prevention notices • Fire prevention Infringement notices • Objections to notices • Appeals against notices • Registration of premises Infringement notices • Animal Impounding notices | Common practice |
| 3.5 | INVESTIGATION, INSPECTION AND MONITORING | | | |
| 3.5.1 | The process of investigation, monitoring or inspection laws in the responsibility of the local authority | Destroy 7 years from last action. | <ul style="list-style-type: none"> • Trading standards sample and inspections records • Fire certificate compliance inspections | Common practice |
| 3.6 | PROSECUTION | | | |
| 3.6.1 | 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. | <ul style="list-style-type: none"> • Prosecution/sanction files | Common practice |
| 3.7 | TRAVELLERS AND CAMP SITES | | | |
| 3.7.1 | Caravan and camp site licences Activities related to caravan and camp sites and its deployment | Destroy 6 years from end of license | <ul style="list-style-type: none"> • Application • Business records • Licenses • Notices | Common practice |
| 3.7.2 | Traveller sites Relating to sites specifically designed as 'traveller sites' | High level policy and strategy - Permanent . Transfer to LHLA after administrative use is concluded. Destroy other records 6 years after administrative use is concluded | <ul style="list-style-type: none"> • Policy and strategy • Application • Business records • Licenses • Notices | Common practice |

| 4 PROPERTY AND LAND | | | | |
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| REF | FUNCTION DESCRIPTION | RETENTION ACTION | EXAMPLES OF RECORDS | NOTES |
| 4.1 | PROPERTY AND LAND MANAGEMENT | | | |
| 4.1.1 | Reports to management on the overall property of the local authority | Permanent. Transfer to LHLA after administrative use is concluded | <ul style="list-style-type: none"> • Consolidated property and buildings annual reports • Summary of leased property • Summary of local authority's owned property • Site register • Register of leases | Common practice |
| 4.1.2 | Scheduling Inventories of specific properties or assets contained within them | Destroy 3 years after expiry of the lease | <ul style="list-style-type: none"> • Inventories | |
| 4.1.3 | Valuations Valuation documentation and statistics | Destroy 6 years from end of financial year after disposal of property | <ul style="list-style-type: none"> • Valuations on disposal | |
| 4.2 | PROPERTY ACQUISITION AND DISPOSAL | | | |
| 4.2.1 | Management of the acquisition (by financial lease or purchase) process for real property | Retain for life of property or building plus 12 years. Major/significant properties – Offer to LHLA for review after administrative use is concluded | <ul style="list-style-type: none"> • Plans | Common practice |
| 4.2.2 | Management of the disposal (by sale or write off) process for real property | Destroy 15 years after all obligations/entitlements are concluded. Major/significant properties – Offer to LHLA for review after administrative use is concluded | <ul style="list-style-type: none"> • Legal documents relating to the sale • Particulars of sale documents • Board of Survey • Tender documents • Conditions of contracts | Common practice |

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| 4.3 | PROPERTY DEVELOPMENT AND RENOVATION | | | |
| 4.3.1 | The process of managing and undertaking renovations and development of property: Buildings and estates of 'special interest' | Permanent. Transfer to LHLA after administrative use is concluded | <ul style="list-style-type: none"> • Project specifications • Plans • Installation manuals • Certificates of approval | Common practice |
| 4.3.2 | All other buildings and estates | Retain for life of property or building | <ul style="list-style-type: none"> • Project specifications • Plans • Installation manuals • Certificates of approval | Common practice |
| 4.3.3 | The action process involved in the development and renovation of property | Destroy 7 years after the conclusion of the transaction that the record supports | <ul style="list-style-type: none"> • Work orders • Tender documents • Conditions of contracts | Common practice |
| 4.4 | LEASING AND OCCUPANCY | | | |
| 4.4.1 | The process of managing leased property | Destroy 15 years after expiry of the lease | <ul style="list-style-type: none"> • Lease agreements • Rental expenditure authorities • Valuation queries • Applications for leases, licenses & rental revision | Common practice |
| 4.4.2 | The process of managing the occupancy of property | Destroy 7 years after the conclusion of the transaction that the record supports | | Common practice |
| 4.5 | TRANSPORT MANAGEMENT | | | |
| 4.5.1 | The process of acquisition and disposal of vehicles through lease or purchase | Destroy 7 years after the disposal of the vehicle | <ul style="list-style-type: none"> • Leases • Contracts • Quotes • Approvals • Fleet authorisation numbers | |

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| 4.5.2 | The process of managing allocation and maintenance of vehicles | Destroy 7 years after disposal of the vehicle | <ul style="list-style-type: none"> • Approvals as drivers • Allocations & authorisations for vehicles • Maintenance | |
| 4.5.3 | The process of recording vehicle usage | Destroy 3 years after the sale or disposal of the vehicle | <ul style="list-style-type: none"> • Vehicle usage reports | |
| 4.5.4 | The process of recording drivers usage | Destroy 7 years after closure | <ul style="list-style-type: none"> • Vehicle log book | |

| 5 PLANNING AND BUILDING CONTROL | | | | |
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| REF | FUNCTION DESCRIPTION | RETENTION ACTION | EXAMPLES OF RECORDS | NOTES |
| 5.1 | PLANNING SCHEME | | | |
| 5.1.1 | 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. Transfer to LHLA when plan superseded | <ul style="list-style-type: none"> • Local Plan • Town Centre plans • Unitary Development Plans • Supplementary Planning Documents | Common practice |
| 5.1.2 | Housing development Documentation related to social housing development | Permanent retention by service area | <ul style="list-style-type: none"> • The Planning Service holds published evidence base documents which inform its Local Plan and other planning policy documents on its web site and digitally on the shared drive • Housing Statistics are compiled through Acolaid and the London Development Database with the Council compiling statistics within its Annual Monitoring Report (published on web site) | Common practice |
| 5.1.3 | The activity of consultation to gain approval for the Structure Plan or Local Plans | Offer to LHLA for review 3 years after administrative use is concluded | <ul style="list-style-type: none"> • Consultation documents and replies • Inquiries and objections made by members of public • Public Inquiry documents | Common practice |

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| 5.1.4 | <p>Conservation areas The activity of recording information on historical buildings, monuments and ecology at a specific site</p> | <p>Offer to LHLA for review after administrative use is concluded</p> | <ul style="list-style-type: none"> • Sites and monuments records • Ecological records • Species records • Historically listed buildings • Definitive map • Commons registration | Common practice |
| 5.1.5 | <p>The activity of establishing planning scheme controls and providing for them to be amended</p> | <p>Permanent. Transfer to LHLA after administrative use is concluded</p> | <ul style="list-style-type: none"> • Successful Waste Planning application • Successful Mineral Planning applications • Amendments to definitive map • Mineral Register • Applications for mineral extraction • Land use surveys | Common practice |
| 5.1.6 | <p>Planning schemes The process of receiving, considering and responding to submissions and objections to planning schemes and amendments</p> | <p>Destroy 15 years after decision</p> <p>Controversial/high profile schemes - Permanent. Transfer to LHLA after administrative use is concluded</p> | <ul style="list-style-type: none"> • Waste planning application consultation • Objections • Inquiries – Public etc. • Archaeological: advice/conditions | Common practice |
| 5.1.7 | <p>Registration The process of controlling development of areas through applications for planning permission</p> | <p>Transfer planning application register to LHLA once the register has been completed (or at arranged intervals if it is held electronically) Refer all other records to LHLA for sampling</p> | <ul style="list-style-type: none"> • Planning application files and plans • Correspondence relating to any objections • Hearing papers • Planning application register | Common practice |

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| 5.1.8 | Natural environment The process of maintaining and developing open spaces for public amenity | Policy related - Permanent. Transfer to LHLA after administrative use is concluded Destroy other records 7 years after administrative use is concluded | <ul style="list-style-type: none"> • Tree preservation orders | Common practice |
| 5.2 | PLANNING SCHEME REGULATION | | | |
| 5.2.1 | Registration The summary management of planning scheme regulation | Permanent. Transfer to LHLA after administrative use is concluded | <ul style="list-style-type: none"> • Building control register • Competent Person Records | Common practice |
| 5.2.2 | The process of regulating the planned use of land or buildings | Destroy 15 years after closure | | Common practice |
| 5.2.3 | Application processing The process of approving building applications in relation to listed or other significant buildings | Offer to LHLA for review after administrative use is concluded | <ul style="list-style-type: none"> • Building files • Plans • Specifications • Correspondence • Applications • Permits • Certificates | Common practice Records are retained permanently when relating to all new buildings and all records relating to Listed buildings |
| 5.2.4 | The process of approving building applications, for all other buildings | <p>Applications Destroy after 3 years if application lapsed</p> <p>Certificate Destroy 10 years after the issue of a certificate of final inspection</p> <p>Other records Offer to LHLA for review 15 years after construction completed</p> | <ul style="list-style-type: none"> • Building files • Plans • Specifications • Calculations • Correspondence • Applications • Permits • Certificates • Objections • Certificate of final inspection • Building Inspection records • Diaries | Common practice As 5.2.3 |

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| 5.2.5 | The process of inspecting building work for the purpose of insuring compliance | Destroy 10 years after the issue of a certificate of final inspection | <ul style="list-style-type: none"> • Certificate of final inspection • Building inspection records • Diaries | Common practice |
| 5.2.6 | Enforcement The process of enforcing building and land regulations | Destroy 3 years after compliance with enforcement notice | <ul style="list-style-type: none"> • Enforcement notices | Common practice |
| 5.2.7 | Unauthorised works | Permanent retention by service area | <ul style="list-style-type: none"> • Plans • Calculations • Specifications • Correspondence with the design team | All unauthorised work should be recorded in the register. Should an application and plans be subsequently received then the case type should be amended. |
| 5.3 | INFRASTRUCTURE | | | |
| 5.3.1 | Street naming and numbering Documentation on the street naming development naming and property numbering/naming | Permanent. Transfer to LHLA after administrative use is concluded | <ul style="list-style-type: none"> • Plans and details identifying streets and properties | Statutory |

| 6 ECONOMIC DEVELOPMENT | | | | |
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| REF | FUNCTION DESCRIPTION | RETENTION ACTION | EXAMPLES OF RECORDS | NOTES |
| 6.1 | BUSINESS INTELLIGENCE | | | |
| 6.1.1 | Marketing The collection and management of economic and social data about the local area | Destroy 10 years after collected 5 years after collected | <ul style="list-style-type: none"> • Economic data • Census data • Indices of deprivation | New census information arrives every 10 years and updated indices of deprivation data every 4-5 years. |
| 6.2 | PROMOTION | | | |
| 6.2.1 | Advice to business Information on providing advice to new and existing businesses | Destroy 7 years after scheme to which information relates is completed | <ul style="list-style-type: none"> • Leaflets | |
| 6.2.2 | Business awards Information regarding business awards and grants | Destroy 7 years after scheme to which information relates is completed | <ul style="list-style-type: none"> • Grants | |
| 6.2.3 | Business development Information about activities designed to develop and encourage business development. Including externally funded projects and sustainability | Destroy after 7 years | <ul style="list-style-type: none"> • Fairs • Business associations | |
| 6.3 | REGENERATION | | | |
| 6.3.1 | Economic regeneration Activities to support economic regeneration in the local area | Offer to LHLA for review after administrative use is concluded. Client records – Destroy 7 years after last entry | <ul style="list-style-type: none"> • Project files • WorkPath client records • WorkPath partnership • Memorandum of Understanding | |

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| 6.3.2 | Community development Information relating to revitalising a specific area or community | Offer to LHLA for review after administrative use is concluded | <ul style="list-style-type: none"> • Project files | |
| 6.3.3 | Sub-regional development Participation in sub-regional partnerships | Offer to LHLA for review after administrative use is concluded | <ul style="list-style-type: none"> • Project files | |
| 6.3.4 | Strategy Information relating to revitalising a specific area or community | Offer to LHLA for review after administrative use is concluded | <ul style="list-style-type: none"> • Strategies | Strategy documents for 4 year period retained for trend and continuity work |
| 6.3.5 | Town centre management Relating to the management of business community in the town centre | Offer to LHLA for review after administrative use is concluded | <ul style="list-style-type: none"> • Project files • Action plans | |
| 6.4 | TOURISM | | | |
| 6.4.1 | Tourism development Information relating to the development of tourism (NB: Joint work with the Divisional Director of Sports, Leisure and Culture) | Offer to LHLA for review after administrative use is concluded | <ul style="list-style-type: none"> • Project files • Action plans | |

| 7 HOUSING | | | | |
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| REF | FUNCTION DESCRIPTION | RETENTION ACTION | EXAMPLES OF RECORDS | NOTES |
| 7.1 | HOUSING PROVISION | | | |
| 7.1.1 | Housing applications & assessment Assessment whether applicant is eligible for services or judgement about what service should be provided | Destroy 70 years after case has been closed | <ul style="list-style-type: none"> • Application form • Supporting documentation • Application for transfer of tenancy and supporting papers | Common practice |
| 7.1.2 | Housing applications The process for applying for council housing (Unsuccessful applications only, successful applications will generally be placed on the tenancy file) | Destroy 70 years after case has been closed | <ul style="list-style-type: none"> • Housing application form • Supporting documentation if eligible for housing under Band 3 | Common practice |
| 7.1.3 | Homelessness Process in providing short term and emergency accommodation for homeless people | Destroy 7 years after closure of case unless there are any former arrears. Former arrears - Destroy 7 years once the debt has been repaid | <ul style="list-style-type: none"> • B&B licences; Head licence and sub-licence for PLAs; NST agreements; offer letters; reviews and appeals; medical assessments | Common practice |
| 7.1.4 | Temporary accommodation Provision of temporary accommodation | Destroy 7 years after demolition of temp accommodation premises | <ul style="list-style-type: none"> • Head licence; sub licences inspection reports; safety certificates; disrepair information | Common practice |
| 7.1.5 | Hostel providers Relating to hostel providers and youth hostels in general. Referrals of people into supported accommodation | Destroy 7 years after closure | <ul style="list-style-type: none"> • Application form • Supporting documentation | Common practice |

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| 7.1.6 | Sheltered housing Information on the provision of sheltered housing | Offer to LHLA for review after administrative use is concluded | <ul style="list-style-type: none"> • SAF form • Supporting documentation | Common practice |
| 7.1.7 | Landlord accreditation Landlord accreditation schemes | Offer to LHLA for review after administrative use is concluded | <ul style="list-style-type: none"> • Details of private landlords accredited to supply properties to Housing Options as prevention or Temporary accommodation | Common practice |
| 7.2 | HOUSING STOCK | | | |
| 7.2.1 | Housing stock required contained in the Strategic Housing Market Assessments which is part of the evidence base for the local plan | Destroy 5 years after last action | <ul style="list-style-type: none"> • Stock monitoring | Common practice |
| 7.2.2 | Housing grants or home improvement grants over £50,000 | Destroy 12 years after last payment | <ul style="list-style-type: none"> • Agreement to pay loan • Details of payments • Correspondence relating to Loan | Statutory Limitations Act 1980 |
| 7.2.3 | Housing grants or home improvement grants under £50,000 | Destroy 6 years after last payment | <ul style="list-style-type: none"> • Agreement to pay loan • Details of payments • Correspondence relating to Loan | Statutory Limitations Act 1980 |

| 8 PARKING AND MOBILITY SERVICES | | | | |
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| REF | FUNCTION DESCRIPTION | RETENTION ACTION | EXAMPLES OF RECORDS | NOTES |
| 8.1 | PARKING OPERATIONS | | | |
| 8.1.1 | Parking Relating to parking permits, parking schemes, development and management of controlled parking zones | Destroy 2 years after registration or entitlement lapses | <ul style="list-style-type: none"> • Permit/scratch cards • Suspensions • Dispensations • Skip licenses | Common practice |
| 8.1.2 | Mobility Services Offered to disabled people | Destroy 3 years after date of issue/refusal | <ul style="list-style-type: none"> • Blue Badges • Freedom Pass • Taxi cards | Common practice |
| 8.1.3 | Parking enforcement Enforcement of on- and off-street parking contraventions | Destroy 2 years after certificate has expired or penalty payment has been made or the matter has been finished or correspondence on the matter has ceased | <ul style="list-style-type: none"> • Enforcement notices • Letters • Court/tribunal records • Bailiff records | Common practice |
| 8.1.4 | Parking business development Installation of instruction and warning signs | Destroy 2 years after revocation action completed | <ul style="list-style-type: none"> • Business records • Traffic Management Orders | Common practice |
| 8.1.5 | Abandoned vehicles Enforcement against vehicles which deemed to have been abandoned | Destroy 2 years after certificate has expired or penalty payment has been made or the matter has been finished or correspondence on the matter has ceased | <ul style="list-style-type: none"> • Enforcement notices • Letters • Business records | Common practice |

