



Retention and Disposal Schedule

Resources Directorate

May 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	04/03/2014 16/04/2014	Minesh Jani/Paul Dudley Natasha Luck	Directorate review Local History Library and Archives (LHLA) review
3	29/04/2014	Joytun Akther	First full version
4	11/05/2018	Joytun Akther	Two-yearly review/restructure LHLA review



Zena Cooke
Corporate Director

14/05/18
Date

CONTENTS

1	SUMMARY	1
2	OBJECTIVES	1
3	SCOPE	1
4	ROLES AND RESPONSIBILITIES	2
5	LEGAL REQUIREMENTS	3
6	RECORDS RETENTION AND DISPOSAL POLICY	5
7	REVIEW/SIGN OF..	6
8	EXPLANATION OF RETENTION GUIDELINES HEADINGS	7
9	GLOSSARY OF TERMS	8

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.

Resources Directorate

1	Finance	11
1.1	Accounts and Audit	11
1.2	Financial Transactions Management	12
1.3	Payroll	13
1.4	Financial Provisions Management	13
1.5	Taxation	15
1.6	Summary Asset Management	15
1.7	Asset Monitoring and Maintenance.....	15
1.8	Asset Acquisition and Disposal	16
1.9	Benefits.....	17
1.10	Revenues	17
1.11	Grants	17
2	Human Resources	18
2.1	Personnel Administration	18
2.2	Employee and Industrial Relations	20
2.3	Equal Employment Opportunities	20
2.4	Occupational Health	21
2.5	Recruitment	21
2.6	Staff Monitoring	22
2.7	Staff Retention	23
2.8	Termination	23
2.9	Training and Development	23
2.10	Appointment of Statutory Officers	24
3	Idea Store and Learning	25
3.1	Idea Store and Libraries	25
3.2	Idea Store Learning	26
3.3	Local History Library and Archives	26
4	Procurement	30
4.1	Contracts and Tendering	30
4.2	Contract Management	31

- 5 Audit, Risk Management and Insurance33**
 - 5.1 Claims Management..... 33
 - 5.2 Insurance 33
 - 5.3 Risk Management 33
 - 5.4 Investigations..... 33

- 6 IT35**
 - 6.1 Infrastructure 35
 - 6.2 System Support 36

- 7 Customer Access.....38**
 - 7.1 Customer services 38

1 FINANCE				
REF	FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS	NOTES
1.1	ACCOUNTS AND AUDIT			
1.1.1	<p>Reporting The process that consolidates financial transactions on an annual basis for corporate reporting purposes</p>	<p>Permanent. Transfer to LHLA after administrative use is concluded.</p>	<ul style="list-style-type: none"> • Consolidated annual reports • Consolidated financial statements • Statement of financial position • Operating statements • General ledger 	<p>Common practice Limitations Act 1980 VAT Act 1994 Taxes Management Act 1970 Audit Commission Act 1998</p>
1.1.2	<p>The process that supports and consolidates financial transactions on a periodic (less than annual) basis, superseding those from the previous period. Does not include journals and subsidiary ledgers and cash books</p>	<p>Destroy 2 years after administrative use is concluded</p>	<ul style="list-style-type: none"> • Consolidated monthly and quarterly reports • Consolidated monthly and quarterly financial statements • Working papers for the preparation of the above • Monthly accrual statements • Cash flow statements • Creditor listings and reports • Debtor listings and reports 	<p>Common practice</p>
1.1.3	<p>Strategy and planning Activities involved in the long term planning of the authority's financial management. Includes the financial forecast</p>	<p>Destroy after 6 or 12 years if separate from annual accounts and annual report and published cabinet papers</p>	<ul style="list-style-type: none"> • MTFP and strategic papers 	

1.2	FINANCIAL TRANSACTIONS MANAGEMENT			
1.2.1	Authorisation Management of the approvals process for purchase, including investigations	Destroy 7 years after the end of the financial year in which the records were created	<ul style="list-style-type: none"> • Appointments and delegations • Directors actions • Authorities to spend • Key decisions • Audit investigations 	Statutory
1.2.2	Expenditure Identification of the receipt, expenditure and write offs of public monies	Destroy 6 years after the conclusion of the financial transaction that the record supports	<ul style="list-style-type: none"> • Allowances • Work orders • Invoices • Credit card statements • Cash books • Receipts • Cheque counterfoils • Bank statements • Subsidiary ledgers - annual • Journals - annual • Vouchers 	Statutory Limitations Act 1980 VAT Act 1994 Taxes Management Act 1970 Audit Commission Act 1998.
1.2.3	Travel expenses Process involving the provision and support for individuals using public transportation	Destroy 6 years after the conclusion of the financial transaction that the record supports	<ul style="list-style-type: none"> • Applications • Card issue • Rail warrants 	Statutory Limitations Act 1980 VAT Act 1994 Taxes Management Act 1970 Audit Commission Act 1998
1.2.4	Reconciliation Processes that balance and reconcile financial accounts	Destroy 2 years after administrative use is concluded	<ul style="list-style-type: none"> • Reconciliation • Summaries of accounts 	Common practice

1.2.5	Taxation records	Destroy 5 years after the end of the financial year in which the records were created	<ul style="list-style-type: none"> • Taxation records • Motor vehicle logs • Fringe benefits tax records • Group certificates 	Statutory Limitations Act 1980 VAT Act 1994 Taxes Management Act 1970 Audit Commission Act 1998
1.3	PAYROLL			
1.3.1	Non-accountable processes relating to payment of employees	Destroy after administrative use is concluded	<ul style="list-style-type: none"> • Summary employee pay reports 	Common practice
1.3.2	Accountable processes relating to payment of employees	Destroy 7 years after the conclusion of the financial transaction that the record supports	<ul style="list-style-type: none"> • Authority sheets • Payroll deduction authorities • Payroll disbursement • Employee pay records • Employee taxation records 	Statutory
1.4	FINANCIAL PROVISIONS MANAGEMENT			
1.4.1	Budgets The process of finalising local authorities' annual budget	Permanent. Transfer to LHLA after administrative use is concluded.	<ul style="list-style-type: none"> • Annual budget 	Common practice Final version of the annual budget only
1.4.2	Estimates The process of developing local authorities' annual budget	Destroy 2 years after annual budget adopted by local authorities	<ul style="list-style-type: none"> • Draft budgets • Departmental budgets • Draft estimates 	Common practice
1.4.3	The process of reporting which examines the budget in relation to actual revenue and expenditure	Destroy after next year's annual budget has been adopted by Local Authorities	<ul style="list-style-type: none"> • Quarterly statements 	Common practice

1.4.4	Loans The activity of borrowing money to enable a local authority to perform its functions and exercise its powers	Destroy 7 years after the loan has been repaid	<ul style="list-style-type: none"> • Loan files 	Statutory
1.4.5	Summary management of loans	Permanent. Transfer to LHLA after administrative use is concluded.	<ul style="list-style-type: none"> • Loans registers 	Common practice
1.4.6	Debt management Activities involved in managing the debts owed to the council	Destroy 6 years after recovery completed	<ul style="list-style-type: none"> • Debt collection and chasing activity including bailiff and court records 	
1.4.7	Credit union management Activities involved in credit union management	Permanent retention by service area. Destroy other documents after 6 years	<ul style="list-style-type: none"> • Legal documents (e.g. trust agreements) • Transaction records • Audits • Valuations 	
1.4.8	Donations Activities involved in the administration of donations to the authority	Permanent retention by service area. Destroy other documents after 6 years	<ul style="list-style-type: none"> • Bequests, trusts & specific funds until fund fully used • Record of who made the donation and what the money was used for 	
1.4.9	Funding bids Activities relating to applications by the authority for grant funding by external bodies	Permanent. Transfer to LHLA after administrative use is concluded.	<ul style="list-style-type: none"> • Grant applications • Bids • Correspondence 	
1.4.10	Fraud Activities relating to the detection, prevention and prosecution of financial irregularity	Destroy 10 years after cessation of any follow up activity	<ul style="list-style-type: none"> • Legal • Internal minutes • Emails • Evidence 	

1.4.11	Refunds Documentation relating to refunds	Destroy 6 years after transaction		
1.4.12	Investments Activities relating to the investment of the authority's funds	Permanent retention by service area.	<ul style="list-style-type: none"> • Valuations • Accounts • Investment strategies 	
1.5	TAXATION			
1.5.1	The activity of corresponding with ratepayers in relation to valuation, rates and charges, objections, submissions, appeals, rate remissions and other rates related matters	Destroy 7 years after last action	<ul style="list-style-type: none"> • Correspondence • Notices • Objections • Applications • Rate certificates • Notices of acquisition and disposition 	Common practice
1.6	SUMMARY ASSETS MANAGEMENT			
1.6.1	Maintaining assets Summary management reporting on the overall assets of the local authorities	Permanent. Transfer to LHLA after administrative use is concluded.	<ul style="list-style-type: none"> • Schedules of acquisitions • Consolidated current asset reports • Annual reports • Summary of current assets • Asset registers 	Common practice
1.7	ASSET MONITROING AND MAINTENANCE			
1.7.1	Management systems that allow the monitoring & management of assets in summary form	Destroy 7 years after the conclusion of the financial transaction that the record supports	<ul style="list-style-type: none"> • Subsidiary asset registers 	Common practice

1.7.2	Process of reporting and reviewing assets status	Destroy 2 years after administrative use is concluded	<ul style="list-style-type: none"> • Routine returns and reports on asset status • Inventories • Stocktaking • Surveys of usage • Acquisition and disposal reports and proposals 	Common practice
1.7.3	The process of maintaining assets	Destroy 7 years after last action	<ul style="list-style-type: none"> • Garden maintenance • Cleaning • Painting 	Common practice
1.7.4	The process of maintaining plant and equipment	Destroy 7 years after sale or disposal of asset	<ul style="list-style-type: none"> • Service records • Plant files 	Common practice
1.8	ASSET ACQUISITION AND DISPOSAL			
1.8.1	Management of the acquisition (by financial lease or purchase) and disposal (by sale or write off) process for assets	<p>Assets under £50 000 Destroy 6 years after all obligations/entitlements are concluded</p> <p>Assets over £50 000 Destroy 12 years after all obligations/entitlements are concluded</p>	<ul style="list-style-type: none"> • Legal documents relating to the purchase/sale • Particulars of sale documents • Board of survey • Leases • Applications for leases, licences & rental revision • Tender documents • Conditions of contracts • Certificates of approval 	Statutory

1.9	BENEFITS			
1.9.1	Benefits and subsidies Activities involved in the administration of benefits payments	Destroy after 7 years unless the claim is live or has an outstanding overpayment in which case retain all source documents.	<ul style="list-style-type: none"> • Benefits claim overpayment notification letter and associated content (if older than 7 years. • Other source documents, such as Benefits application forms 	DWP Benefits Subsidy claims can be reopened retrospectively for previous years – retention of supporting documentation is therefore required. Overpayments can be recovered retrospectively from any future claim.
1.10	REVENUES			
1.10.1	Business rates Business rates information (other than property valuation)	Destroy 7 years after last action	<ul style="list-style-type: none"> • All billing account records 	Still dealing with appeals on 1995 rating lists & all information is very useful in collection & enforcement
1.10.2	Council tax Council tax information	Destroy 7 years after last action	<ul style="list-style-type: none"> • All billing account records 	Still receiving appeals to banding going back to 1993 and all information is invaluable in enforcement and tracing debtors
1.11	GRANTS			
1.11.1	Funding applications Activities relating to the process of considering and administering applications to the authority for grant funding	Permanent. Transfer to LHLA after administrative use is concluded.	<ul style="list-style-type: none"> • Grant applications • Funding letters 	

2 HUMAN RESOURCES				
REF	FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS	NOTES
2.1	PERSONNEL ADMINISTERION			
2.1.1	Summary management systems that allow the monitoring & management of employees in summary form	Permanent retention by service area.	<ul style="list-style-type: none"> • Employment register <ul style="list-style-type: none"> - Permanent Staff - Temporary Staff - Casual Staff • Registers of personnel files • Salary master record 	Common practice
2.1.2	The general terms and conditions of employment with the council	Permanent. Transfer to LHLA after administrative use is concluded.	<ul style="list-style-type: none"> • Green Book 	Common practice
2.1.3	The process of administering employees to ensure that entitlements and obligations are in accordance with agreed employment requirements	Destroy 6 years from date of last pension payment or termination of employment	<ul style="list-style-type: none"> • Recruitment documentation • Medical clearance • Letter of appointment • Letter of acceptance • Details of assigned duties • Documentation relating to the process and undertaking of induction for new employees • Probation reports • Medical examinations • Personal particulars • Educational qualifications • Declarations of pecuniary interests • Secrecy undertakings • Employment contracts 	Common practice

			<ul style="list-style-type: none"> • Documentation relating to sickness absence - correspondence, meeting/ interview notes, 'return to work' forms etc. • Documentation relating to requested employee leave: (annual, study, carers, special, compassionate, unpaid leave etc.) • Political restriction • Job description • Disciplinary and grievance records • Register of 'Disclosure of interests' • Letters informing employees of changes to their terms and conditions • Documentation relating to an individual's training record and work experience with the authority • Documentation relating to proof of training course completion • Documentation relating to the performance appraisal • Personal risk assessments including restrictions • Disciplinary and grievance records 	
2.1.4	Records relating to staff working with children	Destroy 25 years from termination of employment		

2.2	EMPLOYEE AND INDUSTRIAL RELATIONS			
2.2.1	Identification & development of significant directions concerning industrial matters	Offer to LHLA for review after administrative use is concluded.	<ul style="list-style-type: none"> • Generic agreements and awards • Negotiations • Disputes • Claims lodged 	
2.2.2	Liaison processes of minor and routine industrial matters	Destroy 2 years after administrative use is concluded	<ul style="list-style-type: none"> • Daily industrial relations management 	Common practice
2.2.3	Processing of disciplinary and grievances investigations where proved	Oral Warning 6 months Written Warning 1 year Final Warning 18 months The above warnings to be removed and destroyed after the relevant time has been 'spent'	<ul style="list-style-type: none"> • Disciplinary investigation 	Common practice
2.2.4	Disciplinary warnings involving children	Keep on personnel file permanently	<ul style="list-style-type: none"> • Disciplinary 	
2.2.5	Processing of disciplinary and grievances investigations where unfounded	Destroy immediately after the allegations have been found to be unfounded; or after appeal	<ul style="list-style-type: none"> • Correspondence – No warning given 	Common practice
2.3	EQUAL OPPORTUNITIES			
2.3.1	Equalities and diversity Equality and diversity documents which include information on fair treatment of employees and general guidelines	Destroy 12 years after superseded	<ul style="list-style-type: none"> • Policy documents (NB Not personal information) 	Common Practice

2.3.2	Equalities and diversity investigations The process of investigation and reporting on specific cases to ensure that entitlements & obligations are in accordance with agreed Equal Employment Opportunities guidelines policies	Destroy 5 years after action completed	<ul style="list-style-type: none"> • CHAD investigation reports 	Common practice
2.4	OCCUPATIONAL HEALTH			
2.4.1	The process of checking and ensuring the health of staff	Destroy 75 years after DOB	<ul style="list-style-type: none"> • Health questionnaire • Medical clearance • Adjustment to work place • Restrictions • Recommendations 	Common practice
2.4.2	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
2.4.3	Major injuries	Destroy 40 years after termination of employment	<ul style="list-style-type: none"> • Health and safety reports 	Health and Safety at Work Act 197 Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 reg. 7 Limitations Act 1980
2.5	RECRUITMENT			
2.5.1	Authorisation to recruit for a position	Destroy 5 years after recruitment finalised	<ul style="list-style-type: none"> • People Board papers 	Common practice
2.5.2	The job description and person specifications for current posts	Destroy 2 years after superseded	<ul style="list-style-type: none"> • The job description and person specifications for current posts 	Common Practice

2.5.3	The selection of an individual for an established position	Destroy 1 year after recruitment has been finalised (For letter of appointment for successful candidate use employment conditions)	<ul style="list-style-type: none"> • Advertisements • Applications • Referee reports • Interview reports 	Common practice
2.5.4	Unsuccessful candidates	Destroy 6 months after recruitment finalised	<ul style="list-style-type: none"> • Unsuccessful applicants 	Common Practice
2.5.5	Documentation relating to the recruitment process	Destroy 6 months after recruitment finalised	<ul style="list-style-type: none"> • Interview timetables 	Common Practice
2.5.6	Documentation relating to volunteers used by the local authority, including risk assessments	Destroy 6 years from end of period of working voluntarily for the local authority	<ul style="list-style-type: none"> • Volunteer • Agreement/guidelines 	
2.5.7	Reports related to working hours and terms and conditions	Destroy 12 years after superseded.	<ul style="list-style-type: none"> • Report on working hours, additional payments 	Common Practice
2.6	STAFF MONITORING			
2.6.1	Documentation relating to performance	Destroy 5 years after action completed	<ul style="list-style-type: none"> • Probationary reports • Performance plans 	Common practice
2.6.2	Process of monitoring staff leave and attendance	Destroy 2 years after action completed	<ul style="list-style-type: none"> • Sick leave • Jury service • Study leave • Special and personal leave • Attendance books • Flexitime sheets • Leave applications • Clock on/off cards • Annual leave 	

2.6.3	Job evaluation Documentation relating to the approach to performance appraisals	Destroy 6 years after administrative use is concluded	<ul style="list-style-type: none"> • JE Procedure 	Common practice
2.6.4	Maternity/paternity Records documenting entitlements to, and calculations of, Statutory Maternity Pay	Destroy 3 years from end of current tax year	<ul style="list-style-type: none"> • Letters outlining the employee's maternity/paternity leave 	
2.7	STAFF RETENTION			
2.7.1	Financial reward Documentation relating to workforce management	Destroy 6 years after superseded Destroy financial records 7 years after action completed	<ul style="list-style-type: none"> • Corporate workforce plan 	Common practice All records relating to actual payments are dealt with under finance
2.7.2	Other strategy Documentation relating to workforce management and salaries	Pay scales - Permanent retention by service area. Destroy other records 6 years after superseded	<ul style="list-style-type: none"> • Pay scales • Addition payment schedule 	Common practice
2.8	TERMINATION			
2.8.1	The process of termination of staff through voluntary redundancy, dismissal and retirement	Destroy 6 years after termination If a pension is paid then records should be destroyed 6 years after last payment of pension	<ul style="list-style-type: none"> • Resignation • Redundancy (Section 188) • Dismissal • Death • Retirement 	
2.9	TRAINING AND DEVELOPMENT			
2.9.1	Routine staff training processes, not occupational health and safety or children related	Destroy 2 years after action completed	<ul style="list-style-type: none"> • Course individual staff assessment 	Common practice

2.9.2	Training concerning children	Destroy 35 years after course completed, or last entry	<ul style="list-style-type: none"> • Course individual staff assessment • Training register 	Common practice
2.9.3	Occupational health and safety training	Destroy 50 years after training completed	<ul style="list-style-type: none"> • OH&S training register 	Common practice
2.9.4	Training course materials and documentation	Destroy 1 year after course superseded	<ul style="list-style-type: none"> • Course PowerPoint presentations 	Common practice
2.9.5	Training plan Listing of corporate training activities and forward plans. Includes health and safety training	Destroy when superseded	<ul style="list-style-type: none"> • Corporate training plan 	Common practice
2.10	APPOINTMENTS OF STATUTORY OFFICERS			
2.10.1	Summary management systems that allow the monitoring and management of statutory officers in summary form	Permanent. Transfer to LHLA after administrative use is concluded.	<ul style="list-style-type: none"> • Magistrates register 	Common practice
2.10.2	The appointment of an individual for a statutory position	Permanent. Transfer to LHLA after administrative use is concluded.	<ul style="list-style-type: none"> • Appointment Files 1. Shrievalty 2. Magistrates 3. Lord Lieutenant 4. Tax commissioners 	Common practice
2.10.3	The process of selection of an individual for an statutory position	Destroy 2 years after date of appointment	<ul style="list-style-type: none"> • Vacancies and applications • Interview notes • Prospective staff records • Registers of applicants • Unsuccessful applications 	Common practice

3 IDEA STORE AND IDEA STORE LEARNING				
REF	FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS	NOTES
3.1	IDEA STORE AND LIBRARIES			
3.1.1	Stock ordering Information related to ordering of stock	Destroy 7 years after administrative use concluded	<ul style="list-style-type: none"> Financial records 	Common practice
3.1.2	General bookings Relating to conventional library bookings	Destroy 6 years after administrative use concluded Electronic database kept indefinitely at each site	<ul style="list-style-type: none"> Room bookings Exhibition bookings 	Common practice
3.1.3	Computer bookings	Destroy 2 years after account is inactive	<ul style="list-style-type: none"> Netloan booking records 	Common practice
3.1.4	Fees and charges Relating to library fines including guidelines and procedures	Destroy once superseded	<ul style="list-style-type: none"> Guidelines and procedures 	Agreed by Cabinet annually as part of budget setting process
3.1.5	Projects and strategic development Information related to the development of the various Idea Stores.	Offer to LHLA for review after administrative use is concluded	<ul style="list-style-type: none"> Core records 	Common practice
3.1.6	Public policies Information related to policies, procedures and protocols	Offer to LHLA for review after administrative use is concluded	<ul style="list-style-type: none"> Polices Procedures Protocols Guidance notes 	Common practice

3.1.7	Membership	Destroy membership form once data is saved on library system Inactive records Destroy 2 years after account is inactive	<ul style="list-style-type: none"> • Membership form • Reading challenge • Registrations 	Common practice
3.1.8	Borrower loans	Completed transactions Destroy after 2 years Non-completed transactions Destroy after 6 years	<ul style="list-style-type: none"> • Borrower loans record 	Common practice
3.2	IDEA STORE LEARNING			
3.2.1	Idea Store Learning Information and activities related to learning and courses	Destroy 6 years after administrative use is concluded	<ul style="list-style-type: none"> • Student records • Student enrolment form • Funding records • Financial records • Policies and procedures • Reports 	Common practice
3.3	LOCAL HISTORY LIBRARY AND ARCHIVES (LHLA)			
3.3.1	Public service delivery Visitor registration	Destroy 1 year after date registered.	<ul style="list-style-type: none"> • Completed registration forms (hard copy) 	Common practice
3.3.2	Public service delivery Visitor registration	Destroy once data entered onto spread sheet on shared drive	<ul style="list-style-type: none"> • Monitoring forms (hard copy) 	Common practice
3.3.3	Public service delivery Visitor registration	Destroy after administrative use is concluded. Delete record if advised that they no longer wish to be a member or otherwise informed (e.g. deceased).	<ul style="list-style-type: none"> • Electronic records of visitors entered onto CALM (Users) database 	Common practice

3.3.4	Public service delivery Visitor registration	Permanent. Transfer to LHLA archive collections after administrative use is concluded.	<ul style="list-style-type: none"> • Sign-in sheets 	Common practice
3.3.5	Reproduction services	Destroy 1 year from date completed.	<ul style="list-style-type: none"> • Completed digital camera use permit forms • Digital image order forms • Digital image • Reproduction forms 	Common practice
3.3.6	Reproduction services	Destroy 1 year after license elapses.	<ul style="list-style-type: none"> • Image licences 	Common practice Licences are a record of images which THLHA owns and has authorised use of for specific reproduction purposes
3.3.7	Enquiry monitoring	Destroy once data has been entered onto spread sheet on shared drive	<ul style="list-style-type: none"> • Telephone enquiries • Email enquiries • Postal enquiries 	Common practice Staff record in hard copy numbers and basic categories of enquiries received by telephone, email and post. No personal data is recorded on these sheets.
3.3.8	Public enquiries (written format)	Destroy 1 year from date of enquiry	<ul style="list-style-type: none"> • Email enquiries • Postal enquiries 	Common practice
3.3.9	Archive retrievals	Destroy duplicate copy once item has been returned to the archive. Destroy top copy 1 year from date of retrieval.	<ul style="list-style-type: none"> • Retrieval slips 	Common practice Top copy retained for a year to help manage the security of the collections

3.3.10	Programme development Projects	Permanent. Transfer to LHLA archive collections after administrative use is concluded.	<ul style="list-style-type: none"> • Copies of brochures • Publications (including any films or oral histories) • Reports produced as part of the project 	Common practice
3.3.11	Collections management General	Permanent. Transfer to LHLA archive collections after administrative use is concluded.	<ul style="list-style-type: none"> • Policies • Collections management • Collections development • Access • Disaster plan 	Common practice
3.3.12	Collections management Catalogue records	<p>Destroy after administrative use is concluded.</p> <p>*apart from material which is de-accessioned and deleted from the catalogue</p>	<ul style="list-style-type: none"> • Electronic catalogue records on the CALM database for all collections • Hard copy catalogues/ finding aids for collections (mainly for archives) 	<p>Common practice</p> <p>Records of catalogued material within Library, Archive, and Image and Museum collections entered onto the CALM database.</p>
3.3.13	Collections management Depositor and accession records	Destroy after administrative use is concluded.	<ul style="list-style-type: none"> • Completed basic • Image/Ephemera depositor • Agreement Forms • Completed archives and Special Collections Depositor Agreement Forms (gift and loan deposit) • Completed Oral History Agreement Forms • Electronic accession records on CALM database • Hard copy accession records pre-dating CALM 	<p>Common practice</p> <p>Records containing personal data are held securely in staff only areas.</p>

3.3.14	Communications Publications	Permanent. Transfer to LHLA archive collections after administrative use is concluded.	<ul style="list-style-type: none"> • Tower Hamlets Local History Library and Archives Newsletter • Exhibition related publications 	Common practice Bi-monthly publication created digitally and mainly distributed in electronic form to mailing list
3.3.15	Service administration	Permanent. Transfer to LHLA archive collections after administrative use is concluded.	<ul style="list-style-type: none"> • Team Meeting Minutes (weekly staff meetings) 	Common practice
3.3.16	Fundraising	Permanent. Transfer to LHLA archive collections after administrative use is concluded.	<ul style="list-style-type: none"> • Applications for funding from external sources e.g. HLF, ACE, Marc Fitch etc. • Completed successful applications • Project progress reports • Final evaluation reports 	Common practice
3.3.17	Volunteer and placement management	Destroy 1 year after individual ceases to volunteer for LHLA or 1 year after placement ends	<ul style="list-style-type: none"> • Volunteer/placement agreement forms • Volunteer/placement student contact information • CVs of volunteers/placement students 	Common practice Basic details about the volunteering or placement undertaken (e.g. hours and project/s worked on) will be retained for references.
3.3.18	Project management Major projects	Permanent. Transfer to LHLA archive collections after administrative use is concluded.	e.g. Bancroft Library building redevelopment <ul style="list-style-type: none"> • Architectural plans • Fundraising papers • Internal options appraisal • Relevant PCOP/MAB/ cabinet papers 	Common practice

4 PROCUREMENT				
REF	FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS	NOTES
4.1	CONTRACTS AND TENDERING			
4.1.1	Tendering policies Documentation relating to tendering policies	Permanent retention by service area.	<ul style="list-style-type: none"> Procurement procedures 	Common practice
4.1.2	Approved suppliers Maintaining a record of approved suppliers to the local authority	Destroy after 7 years	<ul style="list-style-type: none"> Details of approved suppliers 	Common practice
4.1.3	Expressions of interest The process of calling for expressions of interest	Destroy 2 years after contract let or not proceeded with	<ul style="list-style-type: none"> Expressions of Interest 	Common practice
4.1.4	Specification and contract development The process involved in the development and specification of a contract	<u>Ordinary Contracts</u> Destroy 6 years after the terms of contract have expired <u>Contracts Under Seal</u> Destroy 12 years after the terms of contract have expired	<ul style="list-style-type: none"> Tender specification <p>Note: For project files containing drafts leading to a final version these records can be destroyed.</p>	Statutory Limitations Act 1980
4.1.5	Tender issuing and return The process involved in the issuing and return of a tender	Destroy 1 year after start of contract	<ul style="list-style-type: none"> Opening notice Tender envelope 	Common practice
4.1.6	Evaluation of tender Summary tender evaluation criteria	<u>Ordinary Contracts</u> Destroy 6 years after the terms of contract have expired <u>Contracts Under Seal</u> Destroy 12 years after the terms of contract have expired	<ul style="list-style-type: none"> Evaluation criteria 	Statutory

4.1.7	Successful tender document	<u>Ordinary Contracts</u> Destroy 6 years after the terms of contract have expired <u>Contracts Under Seal</u> Destroy 12 years after the terms of contract have expired	<ul style="list-style-type: none"> • Tender documents • Quotations 	Statutory Limitations Act 1980.
4.1.8	Unsuccessful tender documents	Destroy 1 year after start of contract	<ul style="list-style-type: none"> • Tender documents • Quotations 	Common practice
4.1.9	Requisition Documentation on non-tendered contracts	Destroy 7 years after the end of the financial year	<ul style="list-style-type: none"> • Purchase orders 	Common practice
4.1.10	Post tender negotiation The process in negotiation of a contract after a preferred tender is selected	Destroy 1 year after the terms of contract have expired	<ul style="list-style-type: none"> • Clarification of contract • Post tender negotiation minutes 	Common practice
4.1.11	Awarding of contract The process awarding of contract	<u>Ordinary Contracts</u> Destroy 6 years after the terms of contract have expired <u>Contracts Under Seal</u> Destroy 12 years after the terms of contract have expired	<ul style="list-style-type: none"> • Signed contract 	Statutory
4.2	CONTRACT MANAGEMENT			
4.2.1	Contract operation and monitoring	Destroy 2 years after the term of the contract has expired	<ul style="list-style-type: none"> • Service Level Agreements • Compliance reports • Performance reports 	Common practice

4.2.2	Management and amendment of contract	<u>Ordinary Contracts</u> Destroy 6 years after the terms of contract have expired <u>Contracts Under Seal</u> Destroy 12 years after the terms of contract have expired	<ul style="list-style-type: none"> • Minutes and papers of meetings • Changes to requirements • Variation forms • Extension of contract • Complaints • Disputes on payment 	Statutory
-------	--------------------------------------	---	--	-----------

5 AUDIT, RISK MANAGEMENT AND INSURANCE				
REF	FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS	NOTES
5.1	CLAIMS MANAGEMENT			
5.1.1	The process that records insurance claims against the local authority or local authority officers	Destroy 7 years after all obligations/entitlements are concluded (allowing for the claimant to reach 25 years of age)	<ul style="list-style-type: none"> • Claims records • Correspondence 	Statutory Limitations Act 1980.
5.2	INSURANCE			
5.2.1	The summary management of insurance arrangements	Offer to LHLA for review after administrative use is concluded.	<ul style="list-style-type: none"> • Insurance register 	
5.2.2	The process of insuring local authority officers, property, vehicles and equipment against negligence, loss or damage	Destroy 7 years after the terms of the policy have expired	<ul style="list-style-type: none"> • Insurance policies • Correspondence 	
5.2.3	Renewals The process of renewing insurance policies	Destroy 5 years after the insurance policy has been renewed	<ul style="list-style-type: none"> • Insurance policy • Renewal records • Correspondence 	
5.3	RISK MANAGEMENT			
5.3.1	Campaigns related to risk management	Destroy 2 years after completion of campaign.	<ul style="list-style-type: none"> • Campaigns 	Common practice
5.3.2	Risk assessment Consolidated listing of, and assessment of risks	Permanent retention by service area	<ul style="list-style-type: none"> • Risk register 	
5.4	INVESTIGATIONS			
5.4.1	Investigation files Hard copy records	Destroy 6 years from conclusion of case	<ul style="list-style-type: none"> • Investigation file records maintained to a criminal standard 	Common practice

5.4.2	Investigation details Secured on FIMS electronic case management system	Automatically destroyed 6 years from conclusion of case	<ul style="list-style-type: none">• Tenancy records and investigation material associated with civil evidence to recover sub-let units and where appropriate prosecute under the Fraud Act	Common practice
-------	---	--	--	-----------------

6 INFORMATION TECHNOLOGY (IT)				
REF	FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS	NOTES
6.1	INFRASTRUCTURE			
6.1.1	Fault reporting Customer reporting of faults relating to council services		<ul style="list-style-type: none"> Public reporting through FiFi 	Information on this is held with the relevant department in Place
6.1.2	Helpdesk support Help desk support information relating to specific systems or pieces of software	Permanent retention by service area	<ul style="list-style-type: none"> Fault reporting 	Records kept in Sportworks application since 2015.
6.1.3	Information security Data security information and documentation	<p>Security records – Permanent retention by service area</p> <p>Security events are automatically logged and data retained for 6 months as per PSN framework.</p>	<ul style="list-style-type: none"> Security Events Data Security Incidents 	
6.1.4	Licensing Documentation relating to software licensing	Permanent retention by service area	<ul style="list-style-type: none"> Enterprise license with Microsoft 	
6.1.5	Network maintenance Documentation relating to the maintenance and support of the network	Permanent retention by service area	<ul style="list-style-type: none"> LAN WAN diagrams 	Record kept in Sharepoint by Agilisys
6.1.6	Server maintenance Documentation relating to system servers and their maintenance	Permanent retention by service area		Record kept in Sharepoint by Agilisys

6.1.7	Spatial data management Documentation relating to geographic information systems	Destroy when superseded. Aerial images – Permanent. Transfer to LHLA archive collections after administrative use is concluded.		
6.1.8	Storage Relating to storage systems and servers	Records are kept in shared folders and never destroyed.		
6.1.9	Strategy Relating to an ICT Strategy	Destroy when superseded.	• ICT Strategy	
6.2	SYSTEM SUPPORT			
6.2.1	Change Control Documentation relating to planned changes to a specific system	Destroy 2 years after system no longer used		
6.2.2	Configuration management Documentation relating to the configuration of the system	Destroy 2 years after system no longer used		
6.2.3	Data Management Documentation relating to the management of specific systems data which includes back-ups, mirroring, and systems interfaces	Destroy 2 years after system no longer used		
6.2.4	Design and Construction Relating to the design and construction of systems	Destroy 2 years after system no longer used		

6.2.5	Development Documentation relating to the development of systems and software. Includes web technology development, programming	Destroy 2 years after system no longer used		
6.2.6	Implementation Relating to systems implementation	Destroy 2 years after system no longer used		
6.2.7	Integration and interfaces Documentation in relation to data conversion, data matching, data mapping and system interfacing	Destroy 2 years after system no longer used		
6.2.8	Maintenance Documentation relating to the maintenance and support of software and systems. Includes website	Destroy 2 years after system no longer used		
6.2.9	Manuals Manuals and user information relating to specific systems and software	Destroy 2 years after system no longer used	<ul style="list-style-type: none"> • User manuals and operational guides for specific ICT systems 	

7 CUSTOMER ACCESS				
REF	FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS	NOTES
7.1	CUSTOMER SERVICES			
7.1.1	Service requests Recording customer details (names/addresses/contact details) and service request details on ICT systems	Retention is in accordance with the period identified by the service area for which the request relates to.	<ul style="list-style-type: none"> • Parking and visitor permit applications • Pest control visits • Refuse collection requests 	Common practice
7.1.2	Telephone call recordings Calls to Contact Centre are automatically recorded on Mitel phone system	Destroy after 12 months	<ul style="list-style-type: none"> • Sound files of telephone calls 	Common practice
7.1.3	Manual service requests Manual back-up systems for capturing service requests in event of system failure, recording customer details (names/addresses/contact details) and service request details	Destroy once systems restored	<ul style="list-style-type: none"> • Manual paper forms /sheets 	Used rarely