

Rotherham Metropolitan Borough Council

Records Retention and Disposal Schedule 2019-21

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Introduction

The Council is required by the [Lord Chancellor's 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. This document sets out details about all the records created and kept by us, or our commissioned partners, in such a way that decisions can be made about identifying and disposing of them on a routine and timely basis.

Implementing the requirements detailed in this document is also a requirement of the [Councils Information Management Policy](#).

This retention and disposal schedule has been produced in consultation with departments primarily responsible for the business activities and key stakeholders in the processes to establish the legal and regulatory requirements, and business needs on which record retention and disposal policies are based.

Scope

This retention and disposal schedule applies to all documents defined as records - 'Information created, received and maintained as evidence and information by an organisation or individual, in pursuance of legal obligations or in the transaction of business' i.e. evidence of The Councils actions, transactions, decisions and agreements.

The retention requirements listed here apply to all records irrespective of media and format, or the system(s) in which the records are held, and should be applied to all copies including backups.

Divergence from the retention and disposal schedule may be appropriate in certain circumstances. For example, a pending or actual legal action, change of legislation or regulation, or legitimate business need. Any divergence requires liaison with the Information Management Team and authorisation by the Head of Information Management.

Responsibilities

Information Asset Owners are responsible for ensuring:

- ❑ Record retention policies are implemented in their unit/team, supported by written procedures.
- ❑ Recordkeeping 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.
- ❑ Divergence from Records Retention and Disposal Policy is authorised and the Information Management Team is notified of changes.
- ❑ Staff dispose of records only in accordance with policies set out in this document.
- ❑ 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 The Councils Archive Service.
- ❑ Evidence of the disposal process is kept.

All staff are responsible for:

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

Legal Requirements

Each entry in 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, the Councils Directorates have been consulted to determine the retention requirements that best suit each business activity.

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:

The Data Protection Act 2018

Principle (e) – storage limitation

(e) kept in a form which permits identification of data subjects for no longer than is necessary for the purposes for which the personal data are processed; personal data may be stored for longer periods insofar as the personal data will be processed solely for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes subject to implementation of the appropriate technical and organisational measures required by the GDPR in order to safeguard the rights and freedoms of individuals ('storage limitation');

The Freedom of Information Act 2000

The Act requires us to make information available to the public unless specific exemption(s) apply. [The Code of Practice issued under 46 of the Act](#) sets out rules on how we should manage records and information, including responsibilities on all staff to implement records retention and disposal schedules.

The Local Government Act 2000

[S.22](#) requires that written records of a local authority executive, or a committee of such an executive are be made available to the public.

The Independent Inquiry into Child Sexual Abuse

On Thursday 12 March 2015 the Home Secretary established a statutory inquiry under the 2005 Inquiries Act with the aim of conducting an overarching national review of the extent to which institutions in England and Wales have discharged their duty of care to protect children against sexual abuse.

The Inquiry is independent of government. It is supported by a Panel, Victims and Survivors Consultative Panel, and other expert advisers. The Inquiry will cover England and Wales. A wide range of public institutions will be investigated including local authorities, the police, the armed forces, schools, hospitals, children's homes, churches, and charities.

On 2nd July 2015 Justice Goddard wrote to John Henderson, as well as every Chief Executive of a Local Authority in England and Wales, requesting that the organisation :

'retain any and all documents; correspondence; notes; emails and all other information – however held – which contain or may contain content pertaining directly or indirectly to the sexual abuse of children or to child protection and care. For the purposes of this appendix, the word "children" relates to any person under the age of 18.'

We must not destroy, and must make available for inspection, all reports, reviews, briefings, minutes, notes and correspondence in relation to –

- allegations (substantiated or not) of individuals, organisations, institutions, public bodies or otherwise who may have been involved in, or have knowledge of, child sexual abuse, or child sexual exploitation

- allegations (substantiated or not) of individuals having engaged in sexual activity with, or having a sexual interest in, children
- institutional failures to protect children from sexual abuse or other exploitation
- statutory responsibilities for the care of children in public or private care
- the development of policy on child protection
- the development of legislation on child protection
- the determination of the award of Honours to persons who are now demonstrated to have had a sexual interest in children or are suspected of having had such an interest.

All of these document types – in whatever format – must be “retained pending further requests from the Inquiry”

Although the Councils records retention schedules are very clear on the destruction dates of files, the instructions received by the Inquiry constitute a legal hold as defined by section 12.3 of the code of practice issued under Section 46 of the Freedom of Information Act. As such all records that fall within the above categories are retained, and not destroyed, until we are directed otherwise.

For any advice on clarification on whether records can be destroyed or are covered by the Inquiry retention hold, consult the Information Management Team at IGU@rotherham.gov.uk.

Retention at a Glance

This section is intended to provide a quick reference guide to records retention periods. However, it does not give the full details of retention requirements, triggers, disposal actions and codes of practice, nor the authorities requiring or guiding retention periods. For full details please consult the Retention and Disposal Policies section of this schedule.

| Adult Health and Care | |
|---|---|
| Accommodation Support | 6 years after no longer in receipt of service |
| Case Management | 6 years after no longer in receipt of services |
| Community Living and Disabilities Support | 6 years after no longer in receipt of service |
| Mental Health Support | 20 years after end of treatment or service provision or 8 years after death |
| Vulnerable Adult Protection and Safeguarding | 6 years after no longer in receipt of service |
| Children and Families | |
| Adoptions Management | 100 years from date of adoption order |
| Case Management | Until service user's 25 th birthday |
| Child Protection | 75 years from DOB of the youngest child |
| Children in Need and Education Support | Until service user's 25 th birthday |
| Foster Carer Supervision and Support (Unsuccessful or withdrawn applicants) | 3 years from decision or withdrawal |
| Foster Carer Supervision and Support (Successful applicants) | 10 years from termination of approval |
| Looked After Children | Until service user's 75 th birthday |
| Residential Homes Management and Administration | 15 years from date created |
| Safeguarding | Until service user's 25 th birthday |
| SEN Assessment and Support | Until service user's 31 st birthday |
| Targeted Intervention and Support | Until service user's 25 th birthday |
| Youth Offender Support and Supervision | Until service user's 25 th birthday |

| Community Safety | |
|---|--|
| Animal Health and Welfare Inspection and Monitoring | 6 years after site closure, change of use or keep until The Council no longer responsible for function |
| Civil Emergency Planning and Response | 3 years after date created |
| Complaint Investigation and Enforcement | 6 years after resolution, end of enforcement action or sentence period |
| Fair Trading Inspection and Monitoring | 6 years after site closure, change of use or until The Council no longer responsible for |
| Safety Registration and Licensing | 6 years after expiry of license or registration |
| Sample and Product Testing | 6 years after date created |
| Democracy | |
| Civic Offices Support | 6 years after date created |
| Decision Making | 6 years after date created |
| Electoral System Support | 1 years after date created |
| Member Support | 6 years after date created |
| Education | |
| Admissions and Transfers Processing | 6 years after end of academic year |
| Catering | 6 years after end of academic year |
| Appeals Administration | Until pupil's 25 th birthday |
| School Capacity Planning | 6 years after review, decision not to proceed or completion of implementation |
| Environmental Protection | |
| Advice Provision | 6 years after date created |
| Complaint Investigation and Enforcement | 6 years after resolution, end of enforcement action or sentence period |
| Historic Enforcement Protection and Improvement | Keep until the Council are no longer responsible for function |
| Natural Environment Protection and Improvement | Keep until the Council are no longer responsible for function |

| Finance | |
|--|---|
| Accounting and Reporting | 6 years after end of financial year |
| Banking Administration | 6 years after end of financial year |
| Budgets Management | 6 years after end of financial year |
| Charities and Trusts Administration (Administrative records) | 6 years after end of financial year |
| Charities and Trusts Administration (Deeds and instruments) | Transfer after wound-up |
| Financial Planning | 6 years after end of planning period or strategy superseded |
| External Funding Acquisition | Minimum 6 years after end of funding period or as required by funding body |
| Grant Funding Administration | Minimum 6 years after end of funding period or as required by funding body |
| Income Processing | 6 years after end of financial year |
| Loans and Leasing Administration | 6 years after settlement or end of lease |
| Payroll Administration | 6 years after end of financial year |
| Pension Fund Management | 6 years after end of scheme |
| Pension Scheme Administration | 6 years after death of last known beneficiary of member |
| Procurement (Unsuccessful tenders) | 1 year after contract awarded |
| Procurement (Awarded contracts) | 6 /12 / 15 years after end of contract |
| Purchasing and Payment Processing | 6 years after end financial year |
| Revenues, Benefits and Payments | 6 years after end financial year |
| Taxes Management | 6 years after end of tax year |
| Health and Safety | |
| Accident and Incident Reporting and Investigation (Adults) | 3 years after investigation |
| Accident and Incident Reporting and Investigation (Children) | 21 years after date of birth |
| Advice Provision | 6 years after date created |
| Hazardous Substances Management | 100 years after date created |
| Health Surveillance and Exposure Monitoring (identifiable individuals) | Until 75 th birthday or 40 years after last medical assessment (50 years if exposed to ionising radiation) |
| Health Assessment | 6 years after last assessment |
| Pre-employment health screening | 1 year after date created |

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|--|---|
| Risk Assessment | 6 years after assessment superseded |
| Housing | |
| Complaints and Intelligence | Retain records 6 years from end of year |
| Enforcement | Retain records 6 years from end of year |
| Housing Choices | Retain records 6 years from end of year |
| Pest Control | Retain records 6 years from end of year |
| Surveillance and Entry | Retain records 6 years from end of year |
| Human Resources | |
| Attendance and Time Recording | 2 years after date created |
| Employment Contracts Management | 6 years after end of Council employment |
| Disciplinary and Grievance Procedures Administration | 6 years after end of Council employment |
| Disclosure and Barring Service Checking (DBS reports) | 6 months after receipt |
| Disclosure and Barring Service Checking (Records of checking) | 6 years after termination of relevant contract |
| Industrial Relations Management | 10 years after date created or end of agreement |
| Performance Monitoring and Review | 6 years after date created |
| Recruitment and Termination Administration (Unsuccessful candidates) | 1 year after recruitment decision |
| Recruitment and Termination Administration (Successful candidates) | 6 years after end of Council employment |
| Sickness Absence Management | 6 years after end of Council employment |
| Leave Administration | 3 years after end of financial year |
| Staff Training (Individual training records) | 6 years after end of Council employment |
| Training Provision (Course administration) | 6 years after date created |
| Training Provision (Course content) | 6 years after superseded or course no longer provided |
| Information and Communication Technology (ICT) | |
| ICT Service Design | 6 years after date created |
| ICT Service Operation | 1 year after date created |

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|---------------------------------|----------------------------|
| ICT Service Transition | 6 years after date created |
| Information Management | |
| CCTV Recording | 31 days after recording |
| Information Access Management | 5 years after date created |
| Information Security Management | 3 years after date created |
| Records Storage Management | Lifetime of organisation |

| | |
|---|---|
| Voice Call Recording | 6 months after recording |
| Legal | |
| Advice, Guidance and correspondence | 3 years from date of advice, guidance and correspondence |
| Litigation | 75 years from child's 18 th birthday |
| Land and Highways/Advice | 12 years Process of changing land or property – after closure |
| Leisure and Culture | |
| Collections Access Management | 6 years after date created |
| Collection Acquisition (Surveys and unsuccessful bids) | 6 years after decision not to acquire or unsuccessful bid |
| Collection Acquisition (Acquired items) | Lifetime of deposit |
| Collections and Stock Management | Lifetime of deposit or library stock item |
| Reader, Membership and Loans Administration | 1 year after end of membership, account inactive or loan return |
| Management | |
| Business Planning | 6 years after date created |
| Communications Management and Marketing | 7 years after date created |
| Complaints Management (Service complaints) | 6 years after resolution |
| Consultation and Engagement | 6 years after date created |
| Events Management | 6 years after event |
| Feedback Processing | 2 years after date created |
| Partnership Development | Retain Indefinitely |
| Performance Monitoring and Reporting | 6 years after date created |
| Policy and Procedures Development | 6 years after superseded |
| Research and Analysis (Raw data) | Out of date and/or no longer required |
| Research and Analysis (processed data, analysis and interpretation) | 6 years after date created |
| Strategic Planning | 6 years after superseded |
| Transformation and Change Management | 6 years after date created |

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| Physical Assets and Property | |
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| Property and Land Management | Retain Indefinitely |
| Property Acquisition and Disposal | 15 years after disposal of land or property |
| Asset Monitoring and Maintenance | 7 years after last action |
| Equipment Management, Vehicle and Fleet Maintenance Management | 6 years after disposal of equipment and or vehicle |
| | |
| Registrars and Coroners | |
| | |
| Register of birth, death, still birth and civil partnerships | Retain Indefinitely |
| | |

Planning and Development Control

| | |
|--|---|
| Complaint Investigation and Enforcement (Mineral excavation and waste deposit) | 10 years after resolution, end of enforcement action or sentence period |
| Developer Contribution and Obligation Negotiation | 6 years after funding period or lifetime of development |
| Land and Property Enquiry Processing | 6 years after date created |
| Mineral and Waste Site Inspection and Monitoring | Keep until The Council no longer responsible for function |
| Planning Application Processing | Keep until The Council no longer responsible for function |
| Planning Consultation Processing | 6 years after consultation period |
| Pre-planning Advice Provision | 6 years after date created |

Risk Management and Insurance Administration

| | |
|---|---|
| Audit | 6 years after audit or investigation or legal action |
| Business Continuity Planning | 6 years after superseded |
| Insurance Claims Administration | 6 years after settlement or repudiation but not before claimant reaches age of 24 |
| Insurance Claims Administration (Subsidence claims) | 100 years after settlement or repudiation |
| Insurance Policy Administration (Liability) | 40 years after end of policy |
| Insurance Policy Administration (Non-liability) | 10 years after end of policy |

Transport and Infrastructure

| | |
|---------------------------------|---|
| Highway Asset Management | 15 years after end of life of structure |
| Highway Adoption and Dedication | Keep until end of The Council responsibility for function |
| Highway Maintenance | 6 years after date created |

| | |
|--------------------------------|--|
| Highway Scheme Delivery | 15 years after completion or keep until The Council no longer responsible for function |
| Highway Works Regulation | 6 years after expiry of permit, or change to, or removal of licensed structure |
| Passenger Transport Management | 6 years after date created |
| Rights of Way | Keep until The Council not responsible for |
| Traffic Management | 6 years after date created |
| Traffic Regulation | 6 years after extinguishment or expiry of order |
| | |

Records Retention and Disposal Policies

Policies contained within this schedule give details of records retention periods, criteria triggering the start of the retention period or disposal action, disposal action and the authority, for example, legislation, regulation, codes of practice or guidance requiring or forming the basis for keeping records.

Divergence from the retention and disposal schedule may be appropriate in certain circumstances. For example, a pending or actual legal action, investigation or inquiry, change of legislation or regulations, or to support legitimate business need.

Any divergence from policies contained in this schedule requires liaison with the [Information Management Team](#) and authorisation of the Head of Information Management.

Adult Health and Care

| Accommodation Support | | |
|--|----------|---|
| Retention | Disposal | Authority |
| Retain records 6 years after no longer in receipt of accommodation services | Destroy | Based on a 6 year timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.5 and recommended by the DoH Guidance to Social Services |
| Scope: Placement planning, residential and nursing care, supported accommodation, Rothercare and lodgings provision | | |

| Case Management | | |
|---|----------|---|
| Retention | Disposal | Authority |
| Retain records 6 years after longer in receipt of services | Destroy | Based on a 6 year timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.5 and recommended by the DoH Guidance to Social Services |
| Scope: Management and administration of adult health and care cases including enquiry processing, referral, needs assessment, care and support planning, key information recording | | |

| Community Living and Disabilities Support | | |
|--|----------|---|
| Retention | Disposal | Authority |
| Retain records 6 years after no longer in receipt of community and disability services | Destroy | Based on a 6 year timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.5 and recommended by the DoH Guidance to Social Services |
| <p>Scope: Collection of benefits, day care and meals, administration of personal allowances, housing needs and adaptation support, personal care, occupational therapy, learning disabilities, rehabilitation, provision of equipment and carer support Excluding education support</p> | | |

| Mental Health Support | | |
|--|----------|---|
| Retention | Disposal | Authority |
| Retain records 20 years after no longer in receipt of services, or 8 years after the patient's death if the patient died while receiving treatment | Destroy | NHS Records Management Code of Practice for Health and Social Care 2016 |
| <p>Scope: Mental health case records including psychological assessment records</p> | | |

Vulnerable Adult Protection and Safeguarding

| Retention | Disposal | Authority |
|---|----------|---|
| Retain records 6 years after no longer in receipt of protection and support services | Destroy | Based on a 6 year timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.5 and recommended by the DoH Guidance to Social Services |
| Scope: Investigation and protection planning, guardianship and receivership administration | | |

Children and Families

Adoptions Management

| Retention | Disposal | Authority |
|--|---|---|
| Retain records for 100 years from date of adoption order | Destroy (See IICSA retention hold advice p.4) | Requirement to maintain "Section 56 information" taken from The Disclosure of Adoption Information (Post-Commencement Adoptions) Regulations 2005 . |

Scope: The [guidance on adoption for local authorities](#) published by the DfE in 2014 specifies "Section 56" information that is covered by the 100 year retention rule as being:

- Identifying information about the child, the birth parents, other birth relatives, adoptive parents and any other people involved in the adoption such as foster carers and professionals
- Background information including the child's birth and medical history, education, and development
- Information supplied by the birth parent and other birth relatives including photographs, and letters
- Information supplied by the adoptive parent(s) after the adoption
- Information supplied by any foster carer
- Information that the adopted person has asked to be kept, this would include their views on any contact
- A copy of the child's permanence record (CPR)
- The prospective adopters' report
- Written record of the proceedings of the adoption panel and the agency decision
- Any consent to placement and placement orders and any withdrawal of consent
- The Adoption Placement Report
- The Adoption Support Plan
- The Adoption Placement Plan
- Any other information the agency considers necessary to keep

In addition

- Care leaver support records

Case Management

| Retention | Disposal | Authority |
|--|---|---|
| Retain records until service user's 25th birthday (unless Looked After, SEN, or Adopted - see other entries) | Destroy (See IICSA retention hold advice p.4) | Based on a 6 year timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.5 and recommended by the DoH Guidance to Social Services |
| <p>Scope: Management and administration of adult health and care cases, including: enquiry processing, referral, needs assessment, care and support planning, key information recording</p> | | |

Child Protection

| Retention | Disposal | Authority |
|---|---|---|
| 75 Years from DOB of the youngest child | Destroy (See IICSA retention hold advice p.4) | Children Act 1989 & DoH Guidance – Data Protection Act 2018 Guidance to Social Services (March 2000) ADSS Guidance |
| <p>Scope: Child Protection Register, Case involving Child Protection, Serious Case Reviews, Management Investigation Records (Part 8 enquiries), Child Protection Enquiries where there is further action.</p> <p>Residential records – Day book</p> | | |

Children in Need and Education Support

| Retention | Disposal | Authority |
|--|--|---|
| Retain records until service user's 25th birthday (unless Looked After, SEN, or Adopted - see other entries) | Destroy (See IICSA retention hold advice p.4) | Based on a 6 year timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.5 and recommended by the DoH Guidance to Social Services |
| Scope: Parent and family education support, childcare provision and monitoring, support of gifted and talented children, post-16 support, physical and sensory disability support, educational psychological and behavioural support and assessment | | |

Foster Carer Supervision and Support

| Retention | Disposal | Authority |
|--|--|--|
| <p>Retain application and assessment records for unsuccessful applicants 3 years from application withdrawal or refusal</p> <p>Retain records of successful applicants 10 years end of last placement is terminated after carer ceases to provide care</p> | <p>Destroy (See IICSA retention hold advice p.4)</p> | <p>Foster Placement (Children) Regulations 1991 s.14</p> <p>Fostering Services Regulations 2002 s.32</p> |
| <p>Scope: Foster carer enquiry, application and assessment records, case files and statutory register maintenance</p> | | |

Looked After Children Support

| Retention | Disposal | Authority |
|---|---|---|
| Retain records until service user's 75 th birthday | Destroy (See IICSA retention hold advice p.4) | Arrangement for the Placement of Children (General) Regulations 1991 s.9 and Care Planning, Placement and Case Review (England) Regulations 2010 s.50 |
| <p>Scope: The Care Planning, Placement and Case Review (England) Regulations 2010 s.50 specifies (in s.49 – “Establishment of Records”) that the case records of a Looked After Child, retained until the child's 75th birthday, must include:</p> <ul style="list-style-type: none"> ☐ care plan, including any changes made to the care plan and any subsequent plans ☐ reports obtained under regulation 7 ☐ any other document created or considered as part of any assessment of child's needs, or of any review of child's case ☐ any court order relating to child ☐ details of any arrangements that have been made by the responsible authority with any other local authority or with an independent fostering agency under regulation 26 and Schedule 5, or with a provider of social work services, under which any of the responsible authority's functions in relation to care are discharged by that local authority or independent fostering agency or provider of social work services <p>In addition</p> <ul style="list-style-type: none"> ☐ Care leaver support records | | |

Residential Homes Management and Administration

| Retention | Disposal | Authority |
|--------------------------------------|--|--|
| Retain records 15 years from created | Destroy (See IICSA retention hold advice p.4) | Children's Homes Regulations 1991 s.17 |

Scope: Management and administration of children's residential homes including records and registers relating to multiple residents Including: records specified within schedule 3 of the regulations – Admission and discharge, accidents, administration of medicinal products, money and valuable deposited for safekeeping, disciplinary records and daily log of events. In addition record of persons employed by or working at children's home, duty rotas, record of other persons resident at the home and accounts

Safeguarding

| Retention | Disposal | Authority |
|---|--|---|
| Retain records until service user's 25th birthday (unless Looked After or Adopted, see other entries) | Destroy (See IICSA retention hold advice p.4) | Based on a 6 year timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.5 and recommended by the DoH Guidance to Social Services |

Scope: Child Protection administration, referrals and management, child sexual exploitation investigation, allegations and causes for concern about carers / adopters, medical arrangements, court case preparation and orders, liaison with police and other agencies

SEN Assessment and Support

| Retention | Disposal | Authority |
|--|---|--|
| Retain records until end of academic year in which service user's 31 st birthday occurs | Destroy (See IICSA retention hold advice p.4) | Based on a 6 year timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.5 and requirements of Children and Families Act 2014 s.46 |
| Scope: Special Educational Needs (SEN) assessment and statementing including Education Health Plans (EHC) and education support | | |

Targeted Intervention and Support

| Retention | Disposal | Authority |
|---|---|---|
| Retain records until service user's 25th birthday (unless Looked After, SEN, or Adopted - see other entries) | Destroy (See IICSA retention hold advice p.4) | Based on a 6 year timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.5 and recommended by the DoH Guidance to Social Services |
| Scope: Eligibility and assessment records, requests for support, consent, children missing education, intensive prevention | | |

Youth Offender Supervision and Support

| Retention | Disposal | Authority |
|---|--|--|
| Retain records until service user's 25th birthday | Destroy (See IICSA retention hold advice p.4) | Based on a 6 year timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.5. and recommended by the Youth Justice Board Guidance 2014 |
| <p>Scope: Young offender case management, bail and remand supervision, education, health, safeguarding assessment and intervention, and public protection assessment intensive supervision and surveillance, and restorative justice and reparation management, parent and carer support</p> | | |

Community Safety

Animal Health and Welfare Inspection and Monitoring

| Retention | Disposal | Authority |
|---|--|----------------------------|
| Retain records 6 years after closure or change of use of site or The Council no longer responsible for function | Destroy Transfer to new authority | The Councils business need |
| Scope: Animal health and welfare inspection and monitoring Excluding complaint investigation and enforcement, and registration and licensing | | |

Civil Emergency Planning and Response

| Retention | Disposal | Authority |
|---|----------|--|
| Retain records 3 years after date created | Destroy | Based on a 3 year timescale in which an action can be brought in the case of personal injury or property damage under Limitation Act 1980 s.11 |
| Scope: Emergency response planning, exercise planning and operation, incident response and recovery management, and review | | |

Complaint Investigation and Enforcement

| Retention | Disposal | Authority |
|---|----------|---|
| Retain records 10 years after resolution, end of enforcement action or sentence period | Destroy | UK Police Information Management Standards Criminal Procedure and Investigations Act 1996 (section 23(1)) Code of Practice |
| Scope: Complaint investigation, investigation operations, intelligence gathering, formal notification and prosecution, property and sample seizure | | |

Fair Trading Inspection and Monitoring

| Retention | Disposal | Authority |
|--|--|---|
| Retain records 6 years after closure or change of use of site or The Council no longer responsible for function | Destroy Transfer to new authority | Based on a 6 year timescale in which an action can be brought in the case of tort under Limitation Act 1980 s.2 |
| Scope: Fair trading monitoring and inspection Excluding , complaint investigation and enforcement, and registration and licensing | | |

Safety Registration and Licensing

| Retention | Disposal | Authority |
|---|----------|--|
| Retain records 6 years after expiry or revocation of licence or registration | Destroy | Based on a 6 year timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.5 |
| <p>Scope: Registration, licensing and safety certification of sites, sellers, animal movement licensing, animal trainer and exhibitor licensing, public weighbridge operators, sports ground licensing</p> | | |

Sample and Product Testing

| Retention | Disposal | Authority |
|---|----------|---|
| Retain records 6 years after date created | Destroy | The Council business need based on maintaining records as contractual evidence based on Limitation Act 1980 s.5 or negligence under Limitation Act 1980 s.14A |
| <p>Scope: Testing and analysis of samples and products Including sample receipt, handling and storage, testing and analysis, testing methodologies, reports, sample return or disposal</p> | | |

Customer Services

Civic Offices Support

| Retention | Disposal | Authority |
|--|----------|---|
| Retain records 6 years after date created | Destroy | Local Government (Access to Information) Act 1985 s.50c |
| Scope: Provision of support via customer contact centre, advice, recordings, cashiers and switchboard | | |

Democracy

Civic Offices Support

| Retention | Disposal | Authority |
|--|----------|---|
| Retain records 6 years after date created | Destroy | Local Government (Access to Information) Act 1985 s.50c |
| <p>Scope: Provision of support to the Chair and Vice Chair in relation to their civic functions Including: Events arrangement, event attendance administration, civic gift giving and receiving, civic exchanges administration</p> | | |

Decision Making

| Retention | Disposal | Authority |
|--|--|--|
| Retain records 6 years after date created | Transfer signed master copies to SRO Destroy duplicate and reference copies | Local Government (Access to Information) Act 1985 s.50c The Local Authorities (Referendums)(Petitions)(England) Regulations 2011 s.12 |
| <p>Scope: Management, administration and support for the democratic decision making process including administration and support for Council and Cabinet, administration, support for scrutiny and overview function, administration of submission of reports and responses, administration of membership of committees and working groups, recording of appointments to external bodies and petition processing Excluding support for individual Members</p> | | |

| Electoral System Support | | |
|---|----------|--|
| Retention | Disposal | Authority |
| Retain records 1 year after date created | Destroy | Based on a 1 year timescale in which an action can be brought under the Representation of the People Act 1983 s.76 |
| <p>Scope: Provision of support for the county electoral system including provision of electoral process advice, appointment of returning officers and verification of electoral expenses</p> | | |

| Member Support | | |
|--|----------|----------------------------|
| Retention | Disposal | Authority |
| Retain records 6 years after date created | Destroy | The Councils business need |
| <p>Scope: Provision of support to Members Including processing of member requests for information, advice and research, maintenance of member information</p> | | |

Education

Admissions and Transfers Processing

| Retention | Disposal | Authority |
|---|----------|---|
| Retain records 6 years after end of academic year | Destroy | Based on a 6 year timescale in which an action can be brought in the case of tort under Limitation Act 1980 s.2 |
| Scope: Primary, secondary school admissions and transfers Excluding appeals processing | | |

Catering

| Retention | Disposal | Authority |
|---|----------|---|
| Retain records 6 years after end of academic year | Destroy | Based on a 6 year timescale in which an action can be brought in the case of tort under Limitation Act 1980 s.2 |
| Scope: School catering | | |

Appeals Administration

| Retention | Disposal | Authority |
|---|----------|---|
| Retain records until pupil's 25 th birthday | Destroy | Based on a 6 year timescale in which an action can be brought in the case of tort under Limitation Act 1980 s.2 |
| Scope: Administration of appeals panels and council case preparation including school exclusions, admissions, Statementing and home-school transport appeals Excluding advocacy and parental support relating to appeals processes | | |

| School Capacity Planning | | |
|---|----------|----------------------------|
| Retention | Disposal | Authority |
| Retain records 6 years after date of end of review, decision not to proceed or completion of Implementation | Destroy | The Councils business need |
| <p>Scope: Review of school places including development and submission of proposals for expansion or reduction in capacity of local authority maintained schools and changes to school catchment areas</p> | | |

Environment

Advice Provision

| Retention | Disposal | Authority |
|--|----------|--|
| Retain records 6 years after date created | Destroy | Based on a 6 year period in which an action can be brought in the case of negligence under Limitation Act 1980 s.14A |
| Scope: Provision of environmental management, protection and improvement advice | | |

Complaint Investigation and Enforcement

| Retention | Disposal | Authority |
|--|----------|---|
| Retain records 10 years after resolution, end of enforcement action or sentence period | Destroy | The Councils business need UK Police Information Management Standards |
| Scope: Complaint investigation, informal resolution, and enforcement action | | |

Historic Environment Protection and Improvement

| Retention | Disposal | Authority |
|---|---------------------------|----------------------------|
| Retain records until The Councils not responsible for function | Transfer to new authority | The Councils business need |
| Scope: Planning, monitoring and review, protection and improvement scheme management, surveying, monitoring and analysis, and historic environment records maintenance Excluding planning application consultation | | |

Natural Environment Protection and Improvement

| Retention | Disposal | Authority |
|---|------------------------------|----------------------------|
| Retain records until The Councils no responsible for function | Transfer to new authority | The Councils business need |
| Scope: Protection and improvement scheme management and monitoring Environmental consents, strategic planning, surveying, monitoring and analysis including geological and landscape sites, species and habitat Excluding planning application consultation | | |

Finance

Accounting and Reporting

| Retention | Disposal | Authority |
|---|----------|---|
| Retain records 6 years after the end of the financial year in which records created | Destroy | Companies Act 2006 and Value Added Tax Act 1994 s.6 and Finance Act 1998 Sch.18 pt. 3 |
| Scope: Statutory, corporate and management accounts, abstracts, ledgers, budgetary control records | | |

Banking Administration

| Retention | Disposal | Authority |
|---|----------|---|
| Retain records 6 years after the end of the financial year in which records created | Destroy | Companies Act 2006 and Value Added Tax Act 1994 s.6 and Finance Act 1998 Sch.18 pt. 3 |
| Scope: Bank accounts administration including instruction and payments, bank deposits, account monitoring and reconciliation | | |

Budgets Management

| Retention | Disposal | Authority |
|---|----------|---|
| Retain records 6 years after the end of the financial year in which records created | Destroy | Companies Act 2006 and Value Added Tax Act 1994 s.6 and Finance Act 1998 Sch.18 pt. 3 |
| Scope: Management of capital and revenue budgets | | |

Charities and Trusts Administration

| Retention | Disposal | Authority |
|--|---------------------------------------|--|
| Retain administrative records 6 years after the end of the financial year in which records created | Destroy | The Councils Business need year period for which annual reports and all supporting documents must be retained under Charities Act 2011 s.165 |
| Retain trust deeds and charity and endowment instruments until charity, trust or endowment wound up | Transfer records to Archives Service. | The Councils business need |
| Scope: Administration of charity, trust and endowment for which The Councils acts as trustee including annual reports, deeds, instruments, winding-up records | | |

External Funding Acquisition

| Retention | Disposal | Authority |
|--|----------|---------------------------|
| Retain records a minimum of 6 years after the end of funding period unless otherwise specified by external funding body | Destroy | Funding body requirements |
| <p>Scope: Identification of funding opportunities and resources, development and submission of bids, management of funding resources, monitoring and reporting of outcomes to funding body Excluding grant funding administration</p> | | |

Financial Planning

| Retention | Disposal | Authority |
|--|----------|---|
| Retain records 6 years after the end of planning period or strategy superseded | Destroy | Companies Act 2006 and Value Added Tax Act 1994 s.6 and Finance Act 1998 Sch.18 pt. 3 |
| <p>Scope: Strategic medium and long term financial planning</p> | | |

Grant Funding Administration

| Retention | Disposal | Authority |
|--|----------|---|
| Retain records minimum of 6 years after end of funding or monitoring period or period specified by funding body | Destroy | The Councils Business need or body requirements |
| <p>Scope: Processing and assessment of applications for grant funding, administration of funding payments, financial and outcome monitoring and reporting</p> | | |

Income Processing

| Retention | Disposal | Authority |
|--|----------|---|
| Retain records 6 years after the end of the financial year in which records created | Destroy | Companies Act 2006 and Value Added Tax Act 1994 s.6 and Finance Act 1998 Sch.18 pt. 3 |
| <p>Scope: Processing income received for supply of goods and services, posting slips, tabulations, income records, receipt books, debtor accounts, cash books, till rolls</p> | | |

Loans and Leasing Administration

| Retention | Disposal | Authority |
|---|----------|----------------------------|
| Retain records 6 years after end lease period or settlement of loan | Destroy | The Councils business need |
| <p>Scope: Processing of staff loan and leasing applications, administration of loans, repayments and leasing</p> | | |

Payroll Administration

| Retention | Disposal | Authority |
|---|----------|--|
| Retain records 6 years after the end of the financial year in which records created | Destroy | Taxes Management Act 1970 S.34 |
| <p>Scope: Transactional HR records including expenses and allowances claims, changes to pay, increments, loss of earnings, statutory and non-statutory payments and deductions, additional hours claims redundancy payments, income tax and national insurance records</p> | | |

Pension Fund Management

| Retention | Disposal | Authority |
|--|----------|--|
| Retain records 6 years after the end of scheme | Destroy | The Retirement Benefits Schemes (Information Powers) Regulations 1995 s.15 |
| <p>Scope: The Councils pension fund management records including fund management strategy, policy and guidance influencing decisions Excluding accounting and reporting</p> | | |

Pension Scheme Administration

| Retention | Disposal | Authority |
|--|----------|--|
| Retain records 6 years after death of last known beneficiary of member | Destroy | The Retirement Benefits Schemes (Information Powers) Regulations 1995 s.15 |
| <p>Scope: Records of member and employer pension contributions, member notifications administration of pension benefit payments to scheme members, repayment of contributions to members withdrawing from scheme including copies of legislation, regulation, guidance notices, policies affecting contributions and payments (Note: documents may that may not be readily available from other sources in the long-term)</p> | | |

Procurement

| Retention | Disposal | Authority |
|--|----------|--|
| Retain unsuccessful tenders 1 year after contract award decision | Destroy | Retention of unsuccessful Tenders-Council business need |
| Retain awarded contract records 6 years (signed – 'simple contracts') 12 years (under seal) 15 years (conveyancing) after end of contract, substantial completion, or end of overage or clawback period as applicable | | The authority for awarded contracts depends on the nature or value of contract Limitation Act 1980 s.5 or Limitation Act 1980 s.8 or Limitation Act 1980 s.14B |
| <p>Scope: Pre-tender planning, tender process , contract award and contract management including pre-qualification questionnaires, requests for information, invitations to tender, tender evaluation, tender negotiation, supplier approval, bids and correspondence</p> | | |

Purchasing and Payment Processing

| Retention | Disposal | Authority |
|---|----------|---|
| Retain records 6 years after the end of the financial year in which records created | Destroy | Companies Act 2006 and Value Added Tax Act 1994 s.6 and Finance Act 1998 Sch.18 pt. 3 |
| Scope: Orders, credit notes, creditor invoices, delivery notes, payment records, records of advances | | |

Revenues, Benefits and Payments

| Retention | Disposal | Authority |
|---|------------|---|
| Fraud & Committal files indefinite | Indefinite | DWP Security & Fraud Act , Local Government Finance Act 1993 . Council Tax And NNDR Complaint Lists . Local Government Finance Act 1993 |
| Liability Order Court Lists | | |
| Financial records 6 years after the end of the financial year in which records created | Destroy | Financial Regulations |
| Scope: Fraud files/tapes/documentation, liability order court lists, committal files. Financial records – accruals, bank statements, bacs reports, housing benefit payments, income sheets, paying in books, write off reports, arrears correspondence/spreadsheets | | |

| Taxes Management | | |
|--|-----------------|---|
| Retention | Disposal | Authority |
| Retain records 6 years after the end of the tax year to which records relate | Destroy | Taxes Management Act 1970 S.34 |
| <p>Scope: Payment of collected taxes and National Insurance contributions to H.M. Revenue and Customs and claims and negotiation of refunds for e.g. overpayment Excluding transactional HR records</p> | | |

Health and Safety

Accident and Incident reporting and Investigation (Adults)

| Retention | Disposal | Authority |
|---|----------|---|
| Retain records 3 years after end of investigation | Destroy | Social Security (Claims and Payments) Regulations 1979, Reg. 25(3) Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995, Reg. 7. |
| <p>Scope: Reporting and investigation of accidents or incidents, accidents, violent or aggressive conduct involving adults</p> | | |

Accidents and Incident reporting and Investigation (Children)

| Retention | Disposal | Authority |
|---|----------|---|
| Retain records 21 years after date of birth | Destroy | Social Security (Claims and Payments) Regulations 1979, Reg. 25(3) Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995, Reg. 7. |
| <p>Scope: Reporting and investigation of accidents or incidents, accidents, violent or aggressive conduct involving children</p> | | |

Advice Provision

| Retention | Disposal | Authority |
|---|----------|--|
| Retain records 6 years after date created | Destroy | Based on a 6 year period in which an action can be brought in the case of negligence under Limitation Act 1980 s.14A |
| Scope: Provision of health and safety advice and support | | |

Hazardous Substances Control

| Retention | Disposal | Authority |
|--|--|---|
| Retain records 100 years after date created | Destroy | Based on a period in which an action can be brought in the case of negligence under Limitation Act 1980 s.14A and |
| Retain records until disposal or demolition of affected premises or end of operations involving hazardous substances | Transfer copy to new owner of premises at disposal | Control of Substances Hazardous to Health Regulations 2002 Reg. 10 (5) Control of Lead at Work Regulations 2002 Reg.10, Control of Asbestos Regulations 2012 Reg.22 Ionising Radiations Regulations 1999 Reg. 24 |
| Scope: Surveying, testing, identification, monitoring, risk assessment, management plans, records of control measures plans of work, licenses, notifications of works and remediation or demolition works including work operations and processes involving hazardous substances Excluding individual health surveillance and exposure monitoring | | |

| Health Surveillance and Exposure Monitoring | | |
|--|---|---|
| Retention | Disposal | Authority |
| Retain identifiable individual's records until 75th birthday or 40 years after last medical assessment or exposure monitoring period (50 years if working with or exposed to ionising radiation) | Destroy Should The Council Cease to exist monitoring records should be provided to Health and Safety Executive (HSE) | Control of Substances Hazardous to Health Regulations 2002 Reg. 10 (5) Control of Lead at Work Regulations 2002 Reg.10, Control of Asbestos Regulations 2012 Reg.22 Ionising Radiations Regulations 1999 Reg. 24 |
| Scope: Health and exposure monitoring of employees (identifiable individuals) working with or exposed to substances hazardous to health | | |

| Health Assessment | | |
|---|----------|--|
| Retention | Disposal | Authority |
| Retain records 6 years after last assessment | Destroy | Based on a 6 year period in which an action can be brought in the case of negligence under Limitation Act 1980 s.14A |
| Scope: Manager referred and self-referred employee health assessment records | | |

Pre-Employment Health Screening

| Retention | Disposal | Authority |
|--|----------|----------------------------|
| Retain records 1 year after date created | Destroy | The Councils business need |
| Scope: Pre-employment health screening assessment | | |

Risk Assessment

| Retention | Disposal | Authority |
|---|----------|--|
| Retain records 6 years after assessment has been superseded | Destroy | Based on a 6 year period in which an action can be brought in the case of negligence under Limitation Act 1980 s.14A |
| Scope: Identification, assessment of, and planning to mitigate risks including operational activities, individual or groups of employees, service users, first aid, machinery and equipment, premises and plant, service users and health and safety audits Excluding hazardous substances | | |

Housing

Complaints and Intelligence

| Retention | Disposal | Authority |
|--|----------|--|
| Retain records 6 Years from end of year | Destroy | Limitation Act 1980 Town & Country Planning Act |
| <p>Scope: Complaints, Intelligence Gathering, Assessment & Dissemination, Environmental Protection Act Premises Working Files, Planning Documentation</p> | | |

Enforcement

| Retention | Disposal | Authority |
|---|----------|--|
| Retain records 6 Years from end of year | Destroy | Limitation Act 1980 Police and Criminal Evidence Act 1984 & Criminal Procedure & Investigations Act 1997 Home Office Guidelines |
| <p>Scope: Issue of Warnings, Issue of Formal Caution to Individual, Officers pocket books, Prosecution / Works in default files (incl quotes). Any legal proceedings</p> | | |

| Housing Choices | | |
|--|----------|---|
| Retention | Disposal | Authority |
| Retain records 6 Years from end of year | Destroy | VAT requirements CORGI Regulations and the Gas safety (instillation and use) Regulations (GSIUR) Limitation Act 1982 Business practice Limitations Act 1981 |
| <p>Scope: Housing Solutions Case Files, Invoices, Paying-in Books for cheques, Records of KCPM rent and remittances received, Customer Files/Property Information - Furnished and Temp, Right to Repair Request, Defect Liability reports, Gas /access Enforcement Action, Void packs including work schedule, Q&A Empty Homes Standard check, New tenancy checklist, Meter readings, Houseproud Documentation, Pre termination Documentation, Recharge Repair Documentation, Correspondence and documentation relating to breaches of tenancy agreement, Nuisance Monitoring Sheets, Housing Stock ABC,NSP,NPP,NEIT and legal /court paper work, Rent arrears record/action sheets, Court papers and correspondence, Rent collectors strips, Cashiers Daily Receipts/Banking in books, Garden scheme payments /receipt books, Records of Decoration Vouchers/ allowances, Code 18-19 & other tenancy related allowances related allowances</p> | | |

| Housing Choices (continued) | | |
|---|----------|---|
| Retention | Disposal | Authority |
| Retain records 12 years from end of year | Destroy | Business practice. Limitations Act 1981 |
| <p>Scope: Sale of Miscellaneous properties, Sale of land</p> | | |

Pest Control

| Retention | Disposal | Authority |
|---|----------|---|
| Retain records 6 Years from end of Year/treatment closure | Destroy | Financial Regulations Health & Safety at Work Act & professional Indemnity |
| <p>Scope: Schedules of fees and charges, Calculation of contract prices, Training Records, Investigation and treatment records</p> | | |

Surveillance & Entry

| Retention | Disposal | Authority |
|--|----------|--|
| Retain records 6 Years from end of Year | Destroy | Limitation Act 1980 Police and Criminal Evidence Act 1984 & Criminal Procedure & Investigations Act 1998 Limitation Act 1980, RIPA 2000, Access to Comms Data |
| <p>Scope: Interviews, Obtain and Prepare Witness Statements, Liaison with other Enforcement Agencies, Communications Data, Surveillance Equipment Log, Application, Authorisation, Review, Renewal & Cancellation to Carry Out Surveillance, Record of Authorised Officers, Directed Surveillance, Application for Warrant of Entry</p> | | |

Human Resources

Attendance and Time Recording

| Retention | Disposal | Authority |
|---|---|--|
| Retain records 2 years after date created | Destroy (See IICSA retention hold advice p.4) | Working Time Regulations 1998, Road Transport (Working Time) Regulations 2005 Reg.11 |
| Scope: Timesheets, drivers log cards | | |

Employment Contracts Management

| Retention | Disposal | Authority |
|--|---|--|
| Retain records 6 years after end of Council employment | Destroy (See IICSA retention hold advice p.4) | Based on a 6 year timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.5 |
| Scope: Individual employees' terms and condition of employment, job description, personal specification, pay grade, change of role and record of changes to individuals' employment contracts | | |

Disciplinary and Grievance Procedures Administration

| Retention | Disposal | Authority |
|--|--|--|
| Retain records 6 years after end of Council employment | Destroy (See IICSA retention hold advice p.4) | Based on a 6 year timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.5 |
| Scope: Administration of formal disciplinary and grievance processes including tribunal cases | | |

Disclosure and Barring Service Checking

| Retention | Disposal | Authority |
|--|--|--|
| Retain disclosure reports 6 months after receipt Retain records of checking 6 years after termination of relevant contract | Destroy (See IICSA retention hold advice p.4) | Home Office Code of Practice For Registered Persons and other recipients of Disclosure Information The Information Commissioner's Office, Employment Practices Code (data protection) Based on a 6 year timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.5 |
| Scope: Record of routine Disclosure and Barring Service (DBS) (formerly Criminal Records Bureau – CRB) checks having been made during employment where required by nature of job role | | |

| Industrial Relations Management | | |
|---|----------|-------------------------------------|
| Retention | Disposal | Authority |
| Retain records 10 years after date created or agreement ceases to be effective | Destroy | CIPD Recommendation |
| Scope: Management of relationship between The Council, trade unions or employee representative organisations | | |

| Performance Monitoring and Review | | |
|---|---|--|
| Retention | Disposal | Authority |
| Retain records 6 years after date created | Destroy (See IICSA retention hold advice p.4) | Based on a 6 year timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.5 |
| Scope: Individual target setting to meet business plan requirements, mid-year and end of year formal review of performance against targets | | |

Recruitment and Termination Administration

| Retention | Disposal | Authority |
|--|--|---|
| <p>Retain records of unsuccessful applicants 1 year after recruitment decision</p> <p>Retain records of successful applicants (employees) 6 years after end of Council employment</p> | <p>Destroy (See IICSA retention hold advice p.4)</p> | <p>National Archives Guidance</p> <p>Based on a 6 year timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.5</p> |
| <p>Scope: Recruitment planning, application processing and assessment, interview administration and candidate assessment, pre-employment vetting and checks, contract offer administration, planning and management of employee probationary period and administration of employment termination processes Excluding transactional HR payments administration</p> | | |

Sickness Absence Management

| Retention | Disposal | Authority |
|--|--|---|
| <p>Retain records 6 years after end of Council employment</p> | <p>Destroy (See IICSA retention hold advice p.4)</p> | <p>Based on a 6 year timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.5</p> |
| <p>Scope: Formal sickness absence management processes including sickness absence records, self-certification, fit notes, occupational health referrals and reports, return to work documentation, formal absence process records</p> | | |

Leave Administration

| Retention | Disposal | Authority |
|--|--|--|
| Retain records 3 years after end of financial year in which records created | Destroy (See IICSA retention hold advice p.4) | Statutory Sick Pay (General) Regulations 1982 reg. 13 Statutory Maternity Pay (General) Regulations 1986 reg.26 Statutory Paternity and Statutory Adoption Pay (Administration) Regulations 2002 reg.9 |
| <p>Scope: Maternity and paternity leave and non-statutory leave e.g. contractual leave and unpaid leave</p> | | |

Staff Training (Individual training records)

| Retention | Disposal | Authority |
|---|----------|-------------------------------|
| Retain records 6 years after end of Council employment | Destroy | CIPD Guidance |
| <p>Scope: Training and development records relating to attendance and achievement of individual employees Excluding records of training for work with hazardous substances</p> | | |

| Training Provision | | |
|--|----------------|-----------------------------------|
| Retention | Disposal | Authority |
| <p>Retain course administration records 6 years after date created</p> <p>Retain course content and supporting materials until superseded or course no longer provided</p> | <p>Destroy</p> | <p>The Councils business need</p> |
| <p>Scope: Development and provision of training and courses including e-learning courses, course content and supporting materials, records of completion and attendance Excluding individual staff training records</p> | | |

Information and Communications Technology (ICT)

ICT Service Design

| Retention | Disposal | Authority |
|---|----------|--|
| Retain records 6 years after date created | Destroy | Based on a 6 year timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.5 |
| Scope: ICT architecture management, infrastructure, capacity and availability management, design coordination, service catalogue maintenance | | |

ICT Service Operation

| Retention | Disposal | Authority |
|--|----------|----------------------------|
| Retain records 1 year after date created | Destroy | The Councils business need |
| Scope: ICT systems access management, application management, event and incident management, operations control, problem management, request fulfilment, technical management | | |

| ICT Service Transition | | |
|--|----------|--|
| Retention | Disposal | Authority |
| Retain records 6 years after date created | Destroy | Based on a 6 year timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.5 |
| Scope: Application development, change evaluation, release and deployment management, service validation and testing, service asset and configuration management, transition planning and support | | |

Information Management

| CCTV recording | | |
|--|----------|--|
| Retention | Disposal | Authority |
| Retain recordings for 31 days after recording | Destroy | Home Office National CCTV Strategy report 2007 |
| Scope: CCTV recordings from Council owned, operated or commissioned cameras or surveillance equipment | | |

| Information Access Management | | |
|---|----------|--|
| Retention | Disposal | Authority |
| Retain records 3 years after date created | Destroy | The Councils business need based on National Archives Guidance |
| Scope: Information access request processing, FOI's, DSAR, data publication re-use and licensing | | |

| Information Security Management | | |
|---|----------|---|
| Retention | Disposal | Authority |
| Retain records 3 years after date created | Destroy | The Councils business need based on Computer Misuse Act 1990 s.11 |
| Scope: Incident response and investigation, compliance audit | | |

Records Storage Management

| Retention | Disposal | Authority |
|---|---|---|
| Retain records for specified retention period | Transfer to authorised contractor for confidential disposal | The Councils business need based on Freedom of Information Act s. 46 Code of Practice |
| Scope: Records transfer processing, retrieval, disposal Excluding equipment and premises | | |

Voice Call Recording

| Retention | Disposal | Authority |
|--|----------|--|
| Retain 6 months after recording | Destroy | The Councils business need Financial Services Authority Telephone Recording: recording of voice conversations and electronic communications, Policy statement 08/1 |
| Scope: Recordings of content of telephone calls | | |

Legal

Advice and guidance

| Retention | Disposal | Authority |
|--|----------|---------------|
| Retain 3 years from Last advice / correspondence | Destroy | Business Need |
| Scope: General legal advice and guidance | | |

Litigation

| Retention | Disposal | Authority |
|--|----------|-------------------------|
| Destroy 7 years from last action | Destroy | RMS |
| Destroy Childcare Proceedings 75 years from child's 18 th birthday | Destroy | Dept of Health Guidance |
| Destroy housing possession cases 10 years from last action | Destroy | Business Need |
| Scope: Civil, Commercial and Criminal Case Files Childcare proceedings Housing Possession Cases | | |

Land and Highways / Advice

| Retention | Disposal | Authority |
|----------------------------------|----------|-----------|
| 12 years | Destroy | RMS |
| 6 years from last Payment | Destroy | RMS |
| 2 years from end of the contract | Destroy | RMS |

Scope: Successful Tender document, Management and Amendment of Contract, Conveyancing, Mortgage files/deeds (sealed), Right to Buy. Mortgage files/deeds (signed). Unsuccessful Tender documents, Monitoring staff leave and attendance (departmental copy), Pre contract advice (process of calling for expressions of interest).

Leisure and Culture

Collections Access Management

| Retention | Disposal | Authority |
|---|----------|----------------------------|
| Retain records 6 years after date created | Destroy | The Councils business need |

Scope: Administration public access to library, museum and archive collections and resources, provision of outreach services, research services Excluding member and reader administration Excluding reader and membership administration, and library loans administration, theatres

Collection Acquisition

| Retention | Disposal | Authority |
|---|--|-----------------------------------|
| <p>Retain survey and unsuccessful bid records 6 years after decision not to acquire or bid outcome</p> <p>Retain acquisition records during lifetime of deposit or ownership</p> | <p>Destroy</p> <p>Transfer records to new owner or depositor</p> | <p>The Councils business need</p> |
| <p>Scope: Surveying, assessment and acquisition of archive, museum and art items or collections, legal transfer of ownership and loan agreements Excluding financial transaction records</p> | | |

| Collections and Stock Management | | |
|--|--|----------------------------|
| Retention | Disposal | Authority |
| Retain records until disposal of item or collection | Return to depositor or transfer to new owner or responsible body | The Councils business need |
| Retain until disposal of library stock item | Destroy | |
| <p>Scope: Archive, artwork and museum collection cataloguing, conservation, restoration, display, loan, de-accessioning and disposal records and library stock management records</p> | | |

| Reader, Membership and Loans Administration | | |
|--|----------|----------------------------|
| Retention | Disposal | Authority |
| Retain records 1 years after end of membership, account inactive or loan returned | Destroy | The Councils business need |
| <p>Scope: Administration of library membership, archive service reader cards , library loans and requests</p> | | |

Management

Business Planning

| Retention | Disposal | Authority |
|--|----------|----------------------------|
| Retain records 6 years after date created Working papers and drafts to be retained for 1 year | Destroy | The Councils business need |
| <p>Scope: Business planning to achieve operational service delivery priorities based on corporate priority outcomes, and management of The Councils relationships with, and planning of joint and 'joined up' service delivery with other local authorities, partnership, private and third sector (voluntary) organisations including joint service delivery planning, monitoring and review</p> | | |

Communications Management and Marketing

| Retention | Disposal | Authority |
|--|----------|--|
| Retain records 6 years after date created | Destroy | The Councils business need based on National Archives Guidance |
| <p>Scope: Management of the council's engagement with both its external and internal audience including media monitoring and media relations management, marketing Excluding consultation and engagement, events management</p> | | |

Complaints Management

| Retention | Disposal | Authority |
|---|----------|---|
| Retain records 6 years after complaint resolution | Destroy | Based on a 6 year timescale in which an action can be brought in the case of tort under Limitation Act 1980 s.2 |
| <p>Scope: Processing and investigation of, and response to complaints against The Councils concerning decision making, service provision or staff, including statutory, ombudsman, and non-statutory complaints processes and legal defence case preparation</p> | | |

Consultation and Engagement

| Retention | Disposal | Authority |
|---|----------|----------------------------|
| Retain records 6 years after date created | Destroy | The Councils business need |
| <p>Scope: Community and stakeholder consultation and engagement including surveys, questionnaires, display materials</p> | | |

Events Management

| Retention | Disposal | Authority |
|---|----------|----------------------------|
| Retain records 6 years after event | Destroy | The Councils business need |
| <p>Scope: Management of communications, marketing, engagement and training events to promote The Councils, partner organisations, supported organisations and their services, and management of business events including development of programmes of events, event planning, delegate, event delivery and evaluation</p> | | |

Feedback Processing

| Retention | Disposal | Authority |
|--|----------|----------------------------|
| Retain records 2 years after date created | Destroy | The Councils business need |
| Scope: Processing of customer feedback and comments Excluding complaints management processes | | |

Partnership Development

| Retention | Disposal | Authority |
|--|----------|----------------------------|
| Retain Indefinitely | Destroy | The Councils business need |
| Scope: Local economic development partnership working, planning, growth initiatives | | |

Performance Monitoring and Reporting

| Retention | Disposal | Authority |
|---|----------|----------------------------|
| Retain records 6 years after date created | Destroy | The Councils business need |
| Scope: Performance monitoring, bench marking, collection and analysis of performance data, reporting to external agencies, partner organisations and internally within The Council | | |

Policy and Procedures Development

| Retention | Disposal | Authority |
|--|----------|----------------------------|
| Retain records 6 years after superseded | Destroy | The Councils business need |
| Scope: Development and review of Council corporate and operational policy, development and review of safe, efficient and effective business processes, methods of work and quality assurance measures and compliance monitoring | | |

Research and Analysis

| Retention | Disposal | Authority |
|---|----------|----------------------------|
| <p>Retain raw datasets until out of date and/or no longer required</p> <p>Retain processed data, analysis and interpretation 6 years from date processed or created</p> | Destroy | The Councils business need |
| <p>Scope: Primary data collection, secondary source raw data, data processed for specific purposes, data analysis and interpretation</p> | | |

Strategic Planning

| Retention | Disposal | Authority |
|--|----------|----------------------------|
| <p>Retain records 6 years after superseded</p> <p>Retain working papers and drafts for 1 year after strategy adoption</p> | Destroy | The Councils business need |
| <p>Scope: Identification, development and planning to establish corporate strategic aims and objectives and priority outcomes</p> | | |

Transformation and Change Management

| Retention | Disposal | Authority |
|--|----------------|-----------------------------------|
| <p>Retain records 6 years after date created</p> <p>Retain working papers and drafts to be retained for 1 year after implementation completed</p> | <p>Destroy</p> | <p>The Councils business need</p> |
| <p>Scope: Planning and management of change, oversight of major projects to achieve strategic aims and objectives and improve business delivery</p> | | |

Physical Assets and Property

Property and Land Management

| Retention | Disposal | Authority |
|--|--|---|
| Retain Indefinitely | Transfer to Place of Deposit after administration use is concluded | The Councils business need 12 year timescale in which an action can be brought in the case of a land dispute under Limitation Act 1980 s.15 |
| <p>Scope: Management of access land, open spaces and common land including Maintenance and improvement. Management on overall property of the Local Authority including leased and owned.</p> | | |

Property and Land Acquisition and Disposal

| Retention | Disposal | Authority |
|---|----------|---|
| Retain records 15 years after Council ceases to own or lease site or premises | Destroy | Based on a 15 year long stop in which an action can be the case latent damage under Limitation Act 1980 s.14b |
| <p>Scope: Land and premises acquisition</p> | | |

Asset Monitoring, Maintenance and Services

| Retention | Disposal | Authority |
|--|----------|----------------------------|
| 7 years after last | Destroy | The Councils business need |
| <p>Scope: Garden maintenance, cleaning, painting, service records, catering</p> | | |

Equipment Management ,Vehicle and Fleet Maintenance

| Retention | Disposal | Authority |
|---|----------|--|
| Retain records 6 years after disposal of equipment, fixed plant or system | Destroy | Based on a 6 year timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.5 or negligence under Limitation Act 1980 s.14A |
| <p>Scope: Portable equipment, plant, fixed equipment and systems defects reporting and repair, routine inspection, testing, servicing and maintenance, transport and storage</p> <p>Vehicle and vehicle equipment defect reporting and repair, routine inspection, maintenance, servicing, statutory testing and taxing Excluding financial transactions e.g. vehicle purchase and sales , contracts and leasing</p> | | |

Planning and Development Control

Complaint Investigation and Enforcement

| Retention | Disposal | Authority |
|---|----------|----------------------------|
| Retain records 10 years after resolution, end of enforcement action or sentence period | Destroy | The Councils business need |
| Scope: Investigation of complaints, enforcement action relating to unauthorised mineral extracting and waste deposit | | |

Developer Contribution and Obligation Negotiation

| Retention | Disposal | Authority |
|---|--------------------------------------|---|
| Retain records 6 years after expiry of funding period or lifetime of development | Destroy or transfer to new authority | The Councils business need requirements of Town and Country Planning Act 1990 s.106 and Limitation Act 1980 |
| Scope: Negotiation and management of developer contributions and obligations for developments impacting on for e.g. highways and school places including Assessment of impact of proposed developments, negotiation, agreements and engrossment of contributions and obligations, monitoring of compliance and developer funding contribution expenditure monitoring, town centre management | | |

Land and Property Enquiry Processing

| Retention | Disposal | Authority |
|---|----------|--|
| Retain records 6 years after date created | Destroy | Based on a 6 year period in which an action can be brought in the case of negligence under Limitation Act 1980 s.14A |
| <p>Scope: Processing of land and property search enquiries including common land, highway extent, mineral and waste sites and developments, petroleum storage sites and rights of way searches</p> | | |

Mineral and Waste Site Inspection and Monitoring

| Retention | Disposal | Authority |
|--|---------------------------|----------------------------|
| Retain records until The Council is no responsible for function | Transfer to new authority | The Councils business need |
| <p>Scope: Inspection and monitoring of mineral extraction and waste sites</p> | | |

Planning Application Processing

| Retention | Disposal | Authority |
|---|---------------------------|----------------------------|
| Retain records until The Council is no responsible for function | Transfer to new authority | The Councils business need |
| <p>Scope: Processing of mineral and waste development planning applications including appeals and public inquiry processes including post-application advice</p> | | |

| Planning Consultation Processing | | |
|---|----------|--|
| Retention | Disposal | Authority |
| Retain records 6 years after consultation period | Destroy | Based on a 6 year period in which an action can be brought in the case of negligence under Limitation Act 1980 s.14A |
| <p>Scope: Processing, co-ordination and submission of planning application consultation responses in relation to applications made to other decision-making authorities for which The Council is the statutory consultee or development may impact Council interests</p> | | |

| Pre-Planning Application Advice provision | | |
|---|----------|--|
| Retention | Disposal | Authority |
| Retain pre-application advice records 6 years after date created | Destroy | The Councils business need maintaining records in case of negligence under Limitation Act 1980 s.14A |
| <p>Scope: Provision of pre planning advice, documents, consultations, assessment, Regulation 21 statements</p> | | |

Registration and Coroners

Registers of Birth and Death, Marriage, Civil Partnership and Still Birth

| Retention | Disposal | Authority |
|--|-------------------------|------------------|
| register of birth, death, civil partnership and still birth to be retained Indefinitely | n/a | GRO Legislation |
| cash books, accounts and certification | 1 to 7 years destroy | GRO Legislation |
| Scope: register of birth, death, civil partnership and still birth | | |

Risk Management and Insurance Administration

| Audit | | |
|--|----------|----------------------------|
| Retention | Disposal | Authority |
| Retain records 6 years after audit, investigation or legal action | Destroy | The Councils business need |
| <p>Scope: Audit of financial management, administration, systems, and transactions to identify and prevent fraud and misappropriation, prevention or investigation of alleged fraud and / or misappropriation</p> | | |

| Business Continuity Planning | | |
|--|----------|----------------------------|
| Retention | Disposal | Authority |
| Retain records 6 years after superseded | Destroy | The Councils business need |
| <p>Scope: Identification of, and planning to mitigate risks and response to, and recovery from, incidents affecting business activities including emergency incident planning, operation and review of emergency exercises, incident response and recovery management, post incident review records</p> | | |

Insurance Claims Administration

| Retention | Disposal | Authority |
|--|----------------|---|
| <p>Retain records 6 years after from settlement or repudiation (but not before the child / claimant reaches the age of 24)</p> <p>Retain subsidence claims 100 years</p> | <p>Destroy</p> | <p>Based on a 6 year period in which an action can be brought in the case of negligence under Limitation Act 1980 s.14A</p> |
| <p>Scope: Administration of liability and non-liability insurance claims</p> | | |

Insurance Policies Administration

| Retention | Disposal | Authority |
|--|----------------|-----------------------------------|
| <p>Retain liability policy documents 40 years after policy expiration or termination</p> <p>Retain non-liability documents 10 years after policy expiration or termination</p> | <p>Destroy</p> | <p>The Councils business need</p> |
| <p>Scope: Administration of insurance policies including: arrangement, variation, renewal and termination of policies</p> | | |

Transport and Infrastructure

Highway Asset Management

| Retention | Disposal | Authority |
|---|--------------------------------------|--|
| Retain records 15 years after end of life of structure or asset no longer part of highway | Destroy or transfer to new authority | Based on a 15 year long stop in which an action can be brought in the case latent damage under Limitation Act 1980 s.14b |
| Scope: Traffic and asset data management, dispute resolution | | |

Highway Adoption and Dedication

| Retention | Disposal | Authority |
|--|---------------------------|----------------------------|
| Retain records until The Council no longer responsible for function | Transfer to new authority | The Councils business need |
| Scope: Administration of developer agreements (Highways Act 1980 s38) | | |

Highway Maintenance

| Retention | Disposal | Authority |
|---|----------|--|
| Retain records 6 years after date created | Destroy | Based on a 6 year period in which an action can be brought in the case of negligence under Limitation Act 1980 s.14A or in the case of a simple contract under Limitation Act 1980 s.5 |
| <p>Scope: Processing of fault reports and requests for service, safety and condition inspection, maintenance works scheduling and maintenance operations</p> | | |

Highway Scheme Delivery

| Retention | Disposal | Authority |
|---|---------------------------|--|
| Retain records 15 years after scheme completion | Destroy | Based on a 15 year long stop in which an action can be brought in the case latent damage under Limitation Act 1980 s.14b |
| Retain as built records until Council no longer responsible premises, site or structure | Transfer to new authority | |
| <p>Scope: Delivery of highway schemes including programme management, scheme brief development, site investigations and feasibility study, public consultation, scheme design, scheme delivery planning and monitoring Excluding procurement and contract management, and ongoing asset management</p> | | |

Highway Works Regulation

| Retention | Disposal | Authority |
|--|----------|--|
| Retain records 6 years after expiry of permit or licence, or from change to, or removal of, licensed structure | Destroy | Based on a 6 year period in which an action can be brought in the case of negligence under Limitation Act 1980 s.14A |
| <p>Scope: Regulation and co-ordination of works on the highway including licensing and issue of permits for access crossings, cattle grids, cellars and openings, cranes and booms, excavation, licensing of amenities and facilities, tree planting, fencing, minor local improvements, private apparatus and structures, skip and deposit, temporary traffic signals, and Inspection of sites and third party works on or affecting the highway</p> | | |

Passenger Transport Provision

| Retention | Disposal | Authority |
|--|----------|--|
| Retain records 6 years after date created | Destroy | Based on a 6 year period in which an action can be brought in the case of negligence under Limitation Act 1980 s.14A or in the case of a simple contract under Limitation Act 1980 s.5 |
| <p>Scope: Public transport provision of community, voluntary and provision of public, school, special needs and social care transport provision Including route planning, capacity management and scheduling Excluding procurement, contract management and complaint investigation</p> | | |

Rights of Way Network Management

| Retention | Disposal | Authority |
|---|---|----------------------------|
| Retain records until The Council no longer responsible For function | Transfer to new accountable body | The Councils business need |
| Scope: Created, establishment, modification or extinguishment of rights of way, licensing of structures and permissive paths including landowner declarations (Highways Act 1980 s 31) | | |

Traffic Management

| Retention | Disposal | Authority |
|--|----------|----------------------------|
| Retain records 6 years after date created | Destroy | The Councils business need |
| Scope: Abnormal load management, congestion management, traffic incident management excluding Civil contingency planning and response | | |

Traffic Regulation

| Retention | Disposal | Authority |
|---|----------|----------------------------|
| Retain TROs 6 years after extinguishment or expiry of order | Destroy | The Councils business need |
| Scope: Traffic Regulation Orders (TROs) including temporary orders | | |

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