

Document Control Sheet

Document title	Document Retention Policy
Summary of purpose	To prompt a corporate approach to considering the long-term usability of information and also the protection of historical information, and in turn it sets out the responsibilities and activities associated with this approach.
Prepared by	David Rust
Status	Draft
Version number	1
Approved by	The Finance and Corporate Services Committee – Full Council
Approval date	
Date of implementation	Immediate
Review frequency	3 years (Retention Schedule revised continuously to incorporate any changes/new documents)
Next review date	January 2021
Circulation	
Published on the Council's website	

Validity Statement

This document is due for review by the date shown above, after which it may become invalid. Users of the strategy or policy should ensure that they are consulting the currently valid version of the document.

DOCUMENT RETENTION POLICY

1. INTRODUCTION

- 1.1 In the course of carrying out its various functions and activities, Maldon District Council collects a wide range of data / information from individuals and organisations. This information may relate to specific topics or individuals as well as records of decisions made by the Council, actions taken, and the rationale behind these decisions.
- 1.2 The Council recognises that this documented information is an important public asset and are a key resource to the effective operation and to accountability. Careful document management is therefore required. The aim of this Policy is to prompt a corporate approach to considering the long-term usability of information and also the protection of historical information, and in turn it sets out the responsibilities and activities associated with this approach.
- 1.3 Retention of specific documents may be necessary for one or more of the following reasons:
- To fulfil statutory or other regulatory requirements.
 - To evidence events/agreements in the case of dispute(s).
 - To meet operational needs.
 - To ensure the preservation of documents of historic or other value.
- 1.4 Conversely, the permanent retention of *all* documents is undesirable and to be discouraged. Disposal, where appropriate, is to be encouraged for the following reasons:
- Under the Data Protection Act 1998, to be replaced by the General Data Protection Regulations which comes into force in May 2018, “personal data” processed for any purpose(s) must not be kept for longer than is necessary for that purpose(s) hence retention which is no longer necessary may be unlawful.
 - The sheer volume of records otherwise retained can mean that physical access is difficult and that there is an increased fire risk.
 - To make best use of limited storage space in the Council basement.
 - To promote ‘good housekeeping’ and seek to ensure uncluttered office accommodation.
 - Staff resources committed to searching for information and the subsequent processing, (i.e. for Freedom of Information Act requests) is increased.
 - To provide clarity as to what documents are or are not held by the Council, as required by Section 46 of the Freedom of Information Act 2000.

2. PURPOSE AND SCOPE

- 2.1 The purpose of this Policy is to provide a corporate policy framework to govern management decisions on whether a particular document or set of documents should either be:
- Retained – and if so in what format, and for what period; or
 - Disposed of – and if so when and by what means.
- 2.2 The Policy seeks to:
- assist in maintaining records to meet the Authority’s business needs;
 - assist in identifying vital records that may be worth preserving permanently as part of the Council’s archives;

- prevent the premature destruction of records that need to be retained for a specified period to satisfy legal, financial or other requirements of public administration;
- provide for the destruction of those records not required permanently after specified periods in a consistent and appropriate manner; and
- promote improved records management practices within the Authority.
- ensure compliance with Government directives.

- 2.3 In addition, this Policy seeks to clarify the roles and responsibilities of senior management in the decision making process.
- 2.4 This Policy relates to both physical data protection elements, that is, documents that are retained by the Authority in ‘hard’ paper format, and digital copies of such records (although there may be different retention periods for physical and digital records). Such documents include:
- Letters received from third parties;
 - Copy letters which have been sent out;
 - File notes of meetings;
 - Legal matters;
 - Completed application forms;
 - Plans / Drawings;
 - Photographs;
 - Invoices;
 - Financial records;
 - Registers;
 - Contracts;
 - Deeds.
- 2.5 This Policy does not cover the disposal or retention of unused materials such as unused application forms, duplicated documents and stocks of paper, for instance, which do not form part of a record of a Council business activity or transaction.

3. RETENTION / DISPOSAL DECISION MAKING

- 3.1 Any decision whether to retain or dispose of a document should only be taken in accordance with the following criteria:
- The key disposal/retention considerations checklist set out in **Appendix A**.
 - The Document Retention Schedule set out in **Appendix B**. This has regard to the “Retention Guidelines for Local Authorities” produced by the Public Sector Group of The Information and Records Management Society of Great Britain which outlines recommended and mandatory minimum retention periods for specific classes of records where special rules and considerations apply.
- 3.2 Where a retention period has expired in relation to a particular document a review should always be carried out before a final decision is made to dispose of that record. Such reviews need not be detailed or time consuming.

4. DISPOSAL

- 4.1 Disposal can take place in a number of ways:
- Binning;
 - Recycling;
 - Treatment as Confidential Waste;

- Physical destruction on site;
- Transfer of the document to an external body.

- 4.2 Where documents are destroyed a record needs to be kept, containing the reference, a description, the date, method of destruction and the Officer who authorised the disposal. The record should be able to demonstrate that the disposal was in accordance with this Policy or a written record should be made justifying the reasons for departure from the Policy. Only exceptional circumstances should justify departure from the Policy.
- 4.3 Once documents are selected for disposal the method of disposal should be appropriate to the confidentiality of the document and the destruction should take place in a secure manner.
- 4.4 Documents containing personal data or confidential information should not be binned or sent for recycling without being shredded as this could result in the unauthorised disclosure of such information to third parties.
- 4.5 Transfer of documents to a third party may not be an option in cases where there is personal data having regard to the Data Protection Act 1998, to be replaced by the General Data Protection Regulations incorporated within the new Data Protection Bill (2016).
- 4.6 Whenever possible methods of disposal should further the Council's commitment to recycling and sustainable development.
- 4.7 Particular care must be taken if outside contractors are dealing with the destruction of documents, off the Council's premises. The Council has a duty of care to protect documents while they are awaiting collection. They should not be left unattended on a loading bay, for example. Contracts should be carefully drawn up to ensure that the documents are kept secure in transit, and during the disposal process itself. Such contracts should allow for spot checks to be made of the contractor's premises to ensure compliance. These checks and findings should be recorded and kept with the contract. The contractor should supply a dated, signed consignment note showing a consignment number and the Council should be able to link this number with specific documents so that the Council can say with certainty that certain records were destroyed under a particular consignment number.

5. ARCHIVES

- 5.1 Where documents are transferred to an archive system these must be carefully documented and recorded. Only those records that are no longer of active use may be selected for transfer to an archive.

6. DOCUMENTS DUE FOR DESTRUCTION

- 6.1 Where a document which is due for destruction becomes the subject of a request for information then destruction should be delayed until the request has been satisfied or in the case of a refusal, until any complaint and appeal mechanisms have been exhausted. However, before a formal request for information has been received, routine amendments, or even disposal can take place.

- 6.2 Where a document is destroyed, a record must be kept which gives enough detail to make it clear what records have been destroyed (i.e. file name and short note of content if file name is not clear), the date, reason for destruction, method of destruction and authorising officer.

7. ROLES AND RESPONSIBILITIES

- 7.1 Responsibility for determining, in accordance with this Policy, whether to retain or dispose of specific documents rests ultimately with the individual Director, in respect of those documents that fall within the remit or control of their Service. The rationale for this is that it is reasonable to both assume and expect that each Director should be broadly conversant with the types of documents received, generated and stored by their Service.
- 7.2 Directors may delegate the operational aspects of this function to one or more senior officers within their Service. However in doing so they should ensure that any such Officer is fully conversant with this Policy and is also familiar with the operational requirements of the Service so that they are able to assess the significance of the documents.
- 7.3 Since the majority of Maldon District Council employees are involved in creating, maintaining and using documents, it is vital that everyone is aware of the approach and practices set out in this Policy. Line Managers will ensure that staff responsible for managing documents are appropriately trained or experienced and that all staff understand the need for sound document management. The Staff Induction policy and procedure toolkit and periodic training will seek to ensure that all staff are aware of their obligations regarding Data Protection, Freedom of Information and Document Management.
- 7.4 Because of the clear benefits resulting from the disposal of unnecessary documentation, Directors are expected to be proactive in carrying out or instigating assessments of existing documentation that may be suitable for disposal.
- 7.5 The Council's Legal and Democratic Services Manager or Data Protection Officer can advise on whether minimum retention periods are prescribed by law, and whether retention is necessary to protect the Council's position where the likelihood of a claim has been identified by the relevant Director. Legal Services staff cannot be expected to possess the operational or background knowledge required to assess whether a particular document may be required by the Service concerned for operational need. This is the responsibility of the relevant Director or their designated Officers.

8. REVIEWING THE SCHEDULE

- 8.1 The Schedule attached to this Policy prescribes minimum and permanent retention periods. It will be reviewed and updated at regular intervals.

KEY DISPOSAL / RETENTION CONSIDERATIONS CHECKLIST**1. HAS THE DOCUMENT BEEN APPRAISED?**

- 1.1 Before a document is designated for disposal the nature and contents of it needs to be ascertained. This process may only take a few minutes. However, this can be a more complicated task depending on the complexity of the document concerned. This evaluation process should only be undertaken by Officers who possess sufficient operational knowledge to enable them to identify the record concerned and its function within both the individual Service and corporate framework.

2. IS RETENTION REQUIRED TO FULFIL STATUTORY OR OTHER REGULATORY REQUIREMENTS?

- 2.1 Identifying how long documents need to be kept is one of the most important areas to be addressed. The document produced at **Appendix B** entitled 'Document Retention Schedule' provides guidelines for how long records need to be kept.
- 2.2 In many cases there are statutory rules, or standard practices which govern how long documents must or should be retained. These can vary from once their administrative use is completed, 3-years, 6-years, or longer. Some legal records and notices, or records which the Council is legally required to maintain in a public register, correspondence about ongoing contracts and building works less than 15-years old, leases and matters about which a dispute is known or anticipated, must be kept longer. In addition advice can be sought from the Council's Legal and Democratic Services Manager or Data Protection Officer. However, there may come a point at which the balance of convenience and safety rests with retaining a document rather than conducting extensive inquiries to determine whether it is safe to dispose of the record.

3. IS THE RETENTION REQUIRED FOR EVIDENCE?

- 3.1 Occasionally, the Council may become involved in disputes with third parties. Such disputes can result in the party who is dissatisfied bringing legal proceedings against the Council. Alternatively, the Council may wish or be required to institute legal proceedings against an individual or organisation. Such proceedings may be civil or criminal in nature. Where a dispute arises, or litigation has been commenced it is important that the Council has access to all documents that are relevant to the matter. Without such documents there is the danger that the Council's position will be compromised. Conversely, retaining documents for longer than is necessary, could leave the Council vulnerable to action from the Regulator, or other actions that may arise from documents which may have to be shared under Freedom of Information rules.
- 3.2 Specific time limits are laid down for the commencement of litigation. The time limits are different according to the nature of the claim. The starting point therefore, is that the retention period is the length of time that has to elapse before a claim is barred. ECC Legal Services will be able to give advice if there are areas of doubt.

4. IS RETENTION REQUIRED TO MEET THE OPERATIONS NEEDS OF THE SERVICE?

- 4.1 In some cases retention may be desirable even though no minimum retention period applies, or has expired. Documents may be useful for future reference purposes, as precedents, or for performance management. Skilled judgment may be needed to assess the usefulness of a particular document.

5. IS THE DOCUMENT OF HISTORIC INTEREST?

- 5.1 In most cases this consideration will not be applicable. However, some documents currently in Council storage may be of historic interest. If the document is of historic interest consideration may be given to transfer to the County Archivist rather than retention or disposal by the Council.

6. DOCUMENT DISPOSAL REGISTER

- 6.1 A register of which documents have been destroyed must be kept, both in order to show compliance with the Document Retention Policy, but also to assist in future searches in response to Freedom of Information requests, etc.
- 6.2 The register should include the following details:
- Details of the documents destroyed included name of file & sufficient detail to make clear what has been destroyed. In many cases, the name of the file will be specific enough not to require any further explanation.
 - Date of destruction
 - Method of destruction (i.e. binned, shredded, digital deletion, etc.)
 - Reference to policy for destruction (i.e. Statutory as per Document Retention Policy)
 - Name of person authorising destruction

2018 Maldon District Council Document Retention Schedule

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2018 Maldon District Council Document Retention Schedule

The purpose of the Retention Schedule

A retention schedule is a list of records which need to be retained by Local Government for a designated period of time.

The retention schedule shows:

- i. the title of each record which it creates in the course of its business;
- ii. a time period for which records are to be retained and the action which should be taken when it is of no further administrative use; and
- iii. identifies the reason (legislative, regulatory and/or operational) on which retention is based.

The existence of the retention schedule is a requirement of Maldon District Council's corporate Document Retention Policy. It has been developed in collaboration with Service Managers. The retention schedule refers to all information, regardless of the media in which it is stored, i.e. manual files, computer files, tapes, microfiche, etc. Where records are sentenced for destruction all back-up copies or copies stored on alternative media must also be destroyed. The retention schedule provides consistent instructions for all staff who deal with records, and a formal policy for records retention and disposal.

The purpose of the 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 the Maldon District Council's archives; and
- iii. provide consistency for the destruction of those records not required permanently after specified periods.

Members of staff are expected to manage their current record keeping systems using the Retention Schedule and to take account of the different kinds of retention periods when they are creating new record keeping systems. The Schedule is a 'living document' and will be reviewed and amended as and when retention 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.

Using the Retention Schedule

Where records have been identified for disposal they should be disposed of in an appropriate way. All records containing personal information, or sensitive information should be disposed of using secure waste sacks or shredded after administrative use.

The Freedom of Information Act 2000 requires the Council to maintain a list of records which have been destroyed and who authorised their destruction.

Members of staff should record at least:

- i. File reference (or other unique identifier);
- ii. File title (or brief description);
- iii. Number of files;
- iv. The name of the authorising officer; and
- v. Date of destruction.

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Retention Schedule and the Freedom of Information Act (2000)/Environmental Information Regulations (2004)

The Freedom of Information Act (2000) and Environmental Information Regulations (2004) are intended to promote a culture of openness and accountability amongst public authorities by providing people with rights of access to records held by Maldon District Council. With the introduction of this legislation the Lord Chancellor issued a Code of Practice to be followed by public organisations using his powers under Section 46 of the Freedom of Information Act (2000). This guidance sets out his views on desirable practice for the retention, management and disposal of public authority records. The Code of Practice includes a requirement to develop and apply Document Retention Schedules within the organisation. The Retention Schedule is a requirement of the Freedom of Information Act (2000).

Retention schedule

The Data Protection Act (1998) 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 on files.

Retention schedules assist with compliance under the Data Protection Act, which requires us 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 (the Retention Guidelines for Local Authorities (RGLA), a guide produced by the Records Management Society of Great Britain).

In some parts of the retention 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. In May 2018, the Data Protection Act will be superseded by the introduction of the General Data Protection Regulations which are being written into a new Data Protection Act. This schedule has been written to reflect the changes these regulations will bring, in particular regarding an individual's rights to change their consent for the use of their data, have it removed, or amended.

Further information

Information and Records Management Society <http://irms.org.uk/>

The National Archives <http://www.nationalarchives.gov.uk>

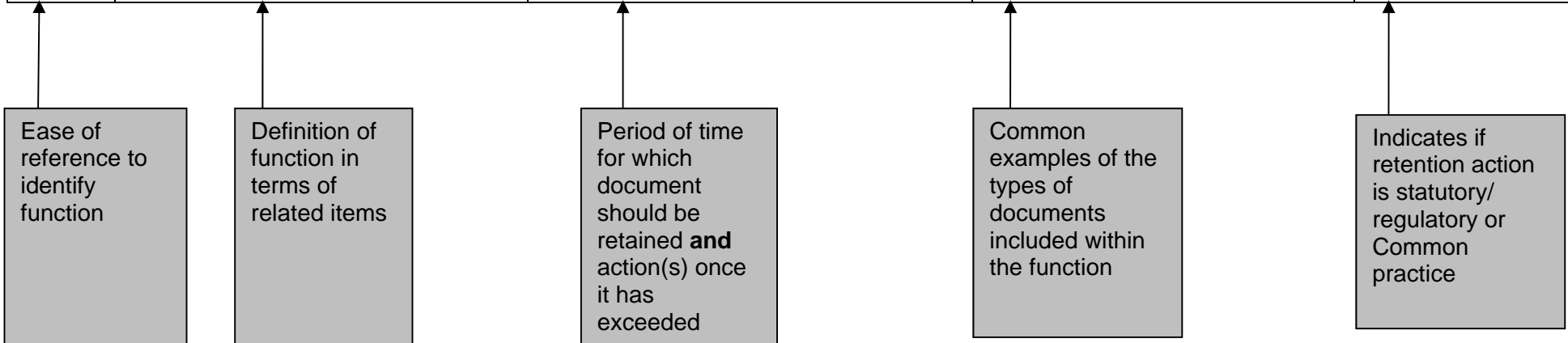
Archives and Records Association <http://archives.org.uk/>

Information Commissioner's Office <http://www.ico.org.uk/>

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Understanding the Retention Schedule

Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
AI 1.1	<p>Acquisitions</p> <p>Assets over £50,000</p> <p>Any papers concerning the management of the acquisition (by financial lease or purchase) process for assets and real property</p>	Destroy 12 years , after all obligations / entitlements are concluded	<ul style="list-style-type: none"> • Legal Documents Relating to the Purchase / Sale • Particulars of Sale Documents • Survey particulars • Leases • Applications for Leases, Licences & Rental Revision • Tender Documents • Conditions of Contracts • Certificates of Approval 	Statutory RGLA 7.29 Limitations Act 1980
AI 1.2	<p>Assets under £50,000</p>	Destroy 6 years , after all obligations / entitlements are concluded	As above	Statutory RGLA 7.29 Limitations Act 1980



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Democratic Processes				
DP1 Electoral Services				
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DP1.1	Election / registration preparation <ul style="list-style-type: none"> Production of hard copy electoral register for use at each polling station Production of separate lists of postal voters, proxy postal voters and proxy voters for use at each polling station 	Marked registers and lists of absent voters to be retained for a period of 12 months before being destroyed.	<ul style="list-style-type: none"> Electoral Register List of absent voters 	Statutory
DP1.2	Election/referenda documents <ul style="list-style-type: none"> Local elections Parliamentary election (incl. combined local) or European elections Referenda (including Neighbourhood Planning) 	Destroy 12 months after the count Destroy 12 months after the count Destroy 12 months after declaration of results of poll	<ul style="list-style-type: none"> After the count - Counted and rejected ballot papers in separate packets The ballot paper accounts and the statement of rejected ballot papers and of the result of the verification of the ballot paper accounts The tendered votes lists, the lists of voters with disabilities assisted by companions, the lists of votes marked by the presiding officers and the related statements, the lists maintained under reg. 41A and the declarations made by the companions of voters with disabilities The packets of completed corresponding lists and certificates as to employment on duty on the day of the poll The packets containing marked 	Statutory

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			copies of register and of lists of postal voters, proxies and postal proxies	
DP1.3	Invitation To Register	1 year from date of publication of current register	<ul style="list-style-type: none"> Application forms (hard copy and scanned*) *National Insurance numbers are automatically redacted by EMS after 6 months 	Common practice per AEA
DP1.4	Results Declaration of results (local elections only)	Permanent Storage at MDC Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> Declaration of Results of Polls Consolidated returns of votes received Uploaded to MDC website 	Local Practice
DP1.5	Returns and Declarations as to Election Expenses <ul style="list-style-type: none"> Parish Council Election Local Government Election Parliamentary Election 	Destroy 12 months after receipt Destroy 24 months after receipt Destroy 24 months after receipt	<ul style="list-style-type: none"> Expenses forms and accompanying documents in support 	Statutory Statutory Statutory
DP1.6	Copy of revised Electoral Register published on 1 December each year for public inspection, and lists of monthly alterations covering the period January to September inclusive each year	Destroy obsolete register on 1 December each year		Statutory
DP1.7	Copy of edited version of Electoral Register for public inspection, and lists of monthly alterations covering the period January to September inclusive each year	Destroy obsolete register on 1 December each year	Copy kept on electoral software (starting from 2004) for the purpose of verifying applications from overseas voters' applications. Hard copies kept for period prior to 2004	Statutory
DP1.8	Household Enquiry Forms	Destroy 1 year from date of publication of current register	Application forms (hard copy and scanned)	Common practice per AEA

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DP1.9	Other Elector Declarations	Destroy 1 year from date of publication of current register	Overseas Voters Anonymous Voters Crown Servants Living Overseas Service Voters Voters With No Fixed Abode – Application forms (hard copy and scanned*) *National Insurance numbers are automatically redacted by EMS after 6 months	Common practice per AEA
DP1.10	Names and Addresses of Election Agents/Polling Agents/Count Agents/Count Guests	Destroy 12 months after declaration of result of election	Forms received from Candidates and/or their Agents – held in hard copy and on EMS – data retained on EMS	Local Practice
DP1.11	Names and personal details of staff employed in and around elections and annual canvass of electors E.G. Casual election staff - Poll Clerks, Presiding Officers, Canvassers, etc.	Retained for as long as remain on staff pool of casual election workforce. Hard copy, emails and EMS	Application forms received are entered onto EMS	Local Practice

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Democratic Processes				
DP2 Committee & Support Services				
Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
DP2.1	Council & Committee Meetings Process of preparing business for Council consideration and making the formal record of discussion, debate and resolutions	<p>Permanent Storage at MDC Transfer to place of deposit after administrative use is concluded.</p> <p>Committee documents published to and retained on website.</p> <p>Original hard copy sets of Minutes are signed by the Chairman at the following meeting as being a correct record of the proceedings and these are to be retained indefinitely,</p> <p>Minutes (and copies) to be made available for 6 years after a meeting.</p> <p>Lists of Background Papers to be kept available for 4 years after the date of the meeting.</p>	<ul style="list-style-type: none"> • Council Minutes • Council Agenda & Business Papers • Council Notice Papers and Proceedings • Indexes • Committee Minutes • Registers of delegations to Special Committees 	<p>Statutory</p> <p>Minutes retention - Section 228 of the Local Government Act 1972.</p> <p>Local Government (Access to Information) Act 1985</p> <p>Hard copy Committee agendas and reports should be destroyed after meetings.</p>
DP2.2	Delegated Decisions	Written records of delegated decisions must be kept available for 6 years .	<p>Service area records and paper files.</p> <p>Service area website pages, if applicable, where any such decisions are published</p> <p><i>[NB – Process under review & therefore likely to change in 2018]</i></p>	The Openness of Local Government Bodies Regulations 2014 requires publication of certain types of delegated decision
DP2.3	Minute Taking	<p>Destroy after date of confirmation of the minutes</p> <p>Draft notes should be deleted/ destroyed once Minutes have been confirmed.</p>	<ul style="list-style-type: none"> • Draft / rough minutes • Audio tapes 	Common practice

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		Audio recordings published to website should be deleted after 2 years		Common practice
DP2.4	Political Parties Papers The process of undertaking representation of the Local Authority.	Destroy 3 years after last action Destroy correspondence relating to Leader's actions / appointments 2 years after last action	<ul style="list-style-type: none"> • Leader of Opposition Papers • Leader of Council Papers • Appointments to outside organisations and charitable bodies 	Common practice
DP2.5	Register of Interests of District Councillors: To be kept up-to-date during the term of office of the individual Councillor. A record of each Councillor's interests in accordance with the Localism Act 2011.	To be kept up-to-date during the term of the office of the individual Councillor. Following completion of another form, or the term of office ending, retain for 6 years .	Paper. The register of interest forms of current Councillors are published on the MDC website.	Statutory
DP2.6	Register of Interests of Town and Parish Councillors: A record of each Councillor's interests in accordance with the Localism Act 2011.	To be kept up-to-date during the term of office of the individual Councillor. Following completion of another form, or the term of office ending, retain for 6 years .	Paper. The register of interest forms of current Councillors are published via the MDC website.	Statutory Town & Parish Clerks required to keep MDC informed of changes e.g. resignations, new Co-optee's etc.
DP2.7	Declaration of Acceptance of Office: Each Councillor signs this declaration upon appointment.	Once the Councillor has ceased to be in office these can be destroyed after 6 years .	Paper form	Statutory – Local Government Act 1972

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DP2.8	<p>Partnership, Agency & External Meetings Process of preparing business for partnership and agencies consideration and making the record of discussion, debate and resolutions, where the Local Authority legally owns the record.</p> <p>Process of preparing business for external committees' consideration, and making the record of discussion, debate and resolutions, where the Local Authority does not own the record</p>	<p>Permanent Storage at MDC Transfer to place of deposit after administrative use is concluded.</p> <p>Destroy 3 years after last action</p>	<ul style="list-style-type: none"> • Documents establishing the body / partnership • Agendas • Minutes • Council Reports • Recommendations • Supporting documents such as Council briefing and discussion papers 	<p>Common practice</p> <p>Common practice</p>
DP2.9	<p>Honours and Submissions Preparation of honours submission</p>	<p>Destroy 1 year after last action</p>	<ul style="list-style-type: none"> • Honours Nomination Form • Covering Documentation • Letters of Support • Referral for comment from Lord Lieutenant 	<p>Common practice</p>
DP2.10	<p>Staff Disclosure of Interests Register of staff gifts and hospitality Staff register of interests</p>	<p>Destroy 1 year after record Destroy 3 years after each record</p>	<p>Declaration of the offer of gifts or hospitality to staff Declaration of the interests of staff which may affect their work with the Council</p>	<p>Common practice</p>
DP2.11	<p>Constitution Constitution of the Maldon District Council</p>	<p>Permanent storage at MDC. Need the ability to review earlier versions of the Constitution as part of considering actions taken.</p>	<p>Constitution</p>	<p>Common practice</p>

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Legal and Contracts				
LC1 Legal Services				
Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
LC1.1	Litigation Process of managing, undertaking or defending for or against litigation on behalf of the Local Authority	Destroy 6 years after last action	<ul style="list-style-type: none"> • Criminal Case File • Civil Case File • Correspondence 	Statutory
LC1.2	Advice Process of providing legal advice on a point of law	Destroy 6 years after last action	<ul style="list-style-type: none"> • E-mail queries • Memorandums/briefing notes 	Statutory
LC1.3	Agreements Process of agreeing terms between organisations. Note: this does not include contractual agreements	Destroy correspondence files relating to any agreement 6 years after agreement in place if executed under hand or for 12 years if executed as a Deed	<ul style="list-style-type: none"> • Concordat • Agreements • Contracts • Deeds 	Statutory
LC1.4	Conveyance (see also Property Acquisition and Disposal) Process of changing ownership of land or property	Destroy correspondence 12 years after closure	<ul style="list-style-type: none"> • Conveyancing Files 	Statutory
LC1.5	Bye Laws - Enactment The process of making local laws	Permanent Storage at MDC Transfer to place of deposit after administrative use is concluded	Permanent Storage at MDC Transfer to place of deposit after administrative use is concluded	Good practice

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LC1.6	Administration & Enforcement The process of administering and enforcing bye laws	Destroy 6 years after certificate has expired or penalty payment has been made or the matter has been finished or correspondence on the matter has ceased	<ul style="list-style-type: none"> • Applications and Certificates • Permits • Licenses • Infringement Notices (Parking) • Correspondence • Bye law enforcement • FPN enforcement 	Statutory
LC2				
Contract Management				
Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
LC2.1	Contracts and Tendering Pre Contract Advice 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
LC2.2	Specification and Contract Development Process involved in the development and specification of a contract	<p>Ordinary Contracts Destroy 6 years after the terms of contract have expired</p> <p>Contracts Under Seal Destroy 12 years after the terms of contract have expired</p>	<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
LC2.3	Tender Issuing and Return 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

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			<ul style="list-style-type: none">• Entry on Assets Register amended• Challenge notification	
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Strategy & Management				
SM1 Strategy				
Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
SM1.1	Corporate Planning and Reporting Developing corporate strategies and planning and reporting activities	Permanent Storage at MDC Transfer to place of deposit after administrative use is concluded To be retained with committee minutes when approved by Council	<ul style="list-style-type: none"> • Corporate Plans • Strategic Plans • Business Plans • Annual Reports 	Common practice
SM1.2	Preparing business for strategic consideration and making the record of discussion, debate and resolutions	2 years	<ul style="list-style-type: none"> • Corporate Leadership Team minutes • Task & Finish Group minutes 	Common practice
SM1.3	Preparing business for service, team or forum consideration and recording discussion, debate and resolutions	3 years from closure	<ul style="list-style-type: none"> • Directorate or Team meeting minutes • Managers Forum minutes 	Common practice
SM1.4	Statutory Returns Preparing information to be passed on to central government as part of statutory requirements	7 years from closure	<ul style="list-style-type: none"> • Returns to Central Government 	Statutory
SM1.5	Policy, Procedures, Strategy and Structure Activities that develop policies, procedures, strategies and structures for the Local Authorities	Permanent Storage at MDC Transfer to place of deposit after administrative use is concluded Digital copies kept only	<ul style="list-style-type: none"> • Policy, procedure, precedent, instructions • Records relating to policy development & implementation • Corporate and Service Plans and Strategies and Policies 	Common practice

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SM1.6	Process of monitoring and reviewing strategic plans, policies or procedures to assess their compliance with guidelines	3 years after end of plan or policy	<ul style="list-style-type: none"> • Strategic Action Plans • Service specific improvement plans • Policy Reviews 	Common practice
SM1.7	Public Consultation Process of consulting the public and staff in the development of corporate policies or strategic plans	2 years from closure	<ul style="list-style-type: none"> • Survey and questionnaire forms; list of consultees and responses • Citizens Panel feedback • Staff surveys & results 	Common practice
SM1.8	Process of consulting the public and staff in future budget development	2 years from closure	<ul style="list-style-type: none"> • Budget Consultation papers • List of consultees and responses • Citizens Panel feedback 	Common practice

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SM2 Management				
Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
SM2.1	Information Management Activity whereby standards, authorities, restraints and verifications are introduced and maintained to manage information effectively	Permanent Storage at MDC Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Classification Schemes • Registers • Indexes • Authorised Lists of File Headings 	Common practice
SM2.2	Management of collections of records transferred to the archives	Permanent Storage at MDC Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Accession Registers • Depositor Files 	Common practice
SM2.3	Process that records the disposal of records	Permanent Storage at MDC Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Disposal Certificates/logs/deeds 	Common practice
SM2.4	Feedback Management of enquiries, submissions and complaints which result in significant changes to policy or procedures	2 years retention - i.e. the current year and previous year.	<ul style="list-style-type: none"> • Reports • Returns • Correspondence 	Common practice
SM2.5	Management of detailed responses on Council actions, policy or procedures	Destroy 2 years after administrative use is concluded	<ul style="list-style-type: none"> • Reports • Returns • Correspondence • Ombudsman 	Common practice

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SM2.6	Quality & Performance Management Monitoring or reviewing the quality, efficiency, or performance of a Council service	Destroy 3 years from closure	<ul style="list-style-type: none"> Peer Reviews reports Assessment / Inspection Reports 	Common practice
SM2.7	Process of assessing the quality, efficiency or performance of a Local Authority service	Destroy 3 years from closure	<ul style="list-style-type: none"> Excellence assessments 	Common practice
SM2.8	Public Relations <u>Publications</u> - Design and setting of information for publication	Destroy 2 years after last action	<ul style="list-style-type: none"> Proofs, templates of publications / promotional literature etc. 	Common practice
SM2.9	The published work of the Local Authority	Destroy after administrative use is concluded Note: one copy from the initial print run should go directly to the archive.	<ul style="list-style-type: none"> Leaflets / guides produced Strategies / Plans published 	Common practice
SM2.10	Media Relations Process of interaction with the media	Press releases to be kept permanently and considered for transfer to Archive/Museum after 5 years. Other correspondence to be reviewed for Archive or destruction after 3 years .	<ul style="list-style-type: none"> Press releases E-mail correspondence with the press 	Common practice
SM2.11	Marketing Process of developing and promoting Council campaigns and events	Destroy after administrative use is concluded <u>Note</u> : one copy from initial print run should go directly to archive	<ul style="list-style-type: none"> Publicity flyers / posters Guides 	Common practice
SM2.12	The process of organising a ceremonial event or civic occasion.	Permanent Storage at MDC Transfer to place of deposit after administrative use is concluded. Consider transfer to Archive/Museum after	<ul style="list-style-type: none"> Itinerary Invitations Visitors' Book Photographs 	Common practice

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		10 years.		
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Strategic Housing				
SH1 Strategic Housing				
Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
SH1.1	Housing Provision Process of dealing with Homeless applications	Destroy 6 years after the end of the financial year in which the records were created	<ul style="list-style-type: none"> • Homeless Application Forms • Case Notes • Homelessness Decisions • Correspondence • Bank statements • Medical records • Benefits Information • Birth certificates • Passports • Immigration information • Other agency information 	Statutory – Housing Act(s)
SH1.2	Homelessness Reviews	Destroy 6 years after the end of the financial year in which the records were created	<ul style="list-style-type: none"> • Homeless Application Forms • Case Notes • Homelessness Decisions • Correspondence • Bank statements • Medical records • Benefits Information • Birth certificates • Passports • Immigration information • Other agency information • Legal Judgement 	Statutory – Housing Act(s)

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SH1.3	General Housing Advice	Destroy 6 years after the end of the financial year in which the records were created	<ul style="list-style-type: none"> • Homeless Prevention Application Forms • Case Notes • Bank statements • Medical records • Benefits Information • Birth certificates • Passports • Immigration information • Other agency information 	Statutory – Housing Act(s)
SH1.4	Stock Transfer Records	Permanent Storage at MDC	<ul style="list-style-type: none"> • Agreement • Property Records 	Common practice
SH1.5	Copies of Statutory Housing Returns e.g. HIPSSA	Destroy 6 years after the end of the financial year in which the records were created	<ul style="list-style-type: none"> • Copies of actual returns • Audit Trails 	Common practice
SH1.6	Statistical data for Housing performance indicators	Destroy 6 years after the end of the financial year in which the records were created	<ul style="list-style-type: none"> • Copies of actual returns • Audit Trails 	Common practice
SH1.7	New Development	Destroy once development occupied	<ul style="list-style-type: none"> Land Registry Transfer of Title docs Nomination agreements Grant confirmation Viability assessments Customer satisfaction returns 	Common practice
SH1.9	Process of dealing with online Choice Based Lettings applications (Housing Register).	<p>Destroy 6 years from closure of application</p> <p>Records retained for duration of ‘active’ application and inclusion on waiting list.</p> <p>Documents reviewed along with application every 12 months. Non-relevant and superseded documents destroyed.</p>	<ul style="list-style-type: none"> • CBL Application Form • Bank statements • Relevant medical information • Benefits Information • Birth certificates • Passports • Immigration information • Other agency information 	Statutory – Housing Act(s)

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SH1.10	Process of dealing with Private Sector Leasing.	Destroy 7 years after completion of lease.	<ul style="list-style-type: none"> • Homeowner acceptance form • Grant spend invoice • Work specification • Nomination details 	Statutory – Housing Act(s)
SH1.11	Process of dealing with Empty Homes.	Retain for the duration for which there is an administrative requirement (i.e. property remain empty or proceedings being undertaken).	<ul style="list-style-type: none"> • Land Registry • Council tax empty property list • Letters to owners • Photographs of empty properties • Other letters and correspondence 	Common practice

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Human Resources				
HR1 Human Resources				
Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
HR1.1	<p>HR and Administration Summary management systems that allow the monitoring and management of employees in summary form</p> <p>Note: <i>Summary information that this record class attempts to capture is:- Name; DoB; Date of Appointment; Work History Details; Position / Designation; Titles and Dates Held</i></p>	Destroy after 7 years	<ul style="list-style-type: none"> • Staff files (hard copies) • Staff files (electronic copies) • Staff records held on HR Information System (HRIS) • 	Section 5 Limitation Act 1980
HR1.2	<p>Process of administering employees to ensure that entitlements and obligations are in accordance with agreed employment requirements.</p> <p>Records containing superannuation information.</p>	Destroy 7 years from termination date	<ul style="list-style-type: none"> • Medical Clearance • Conditional Offer Letter • Contract of Employment / Written Particulars • Job Descriptions • Contract amendment letters • Probation Reports • Occupational Health Reports • Personal Particulars • Educational Qualifications • Declarations of Criminal Convictions • Declarations of Personal Relationships 	Section 5 Limitation Act 1980

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HR1.3	Employee and Industrial Relations Documents relating to industrial relations or disputes.	Destroy 6 years after resolution of issue.	<ul style="list-style-type: none"> • Generic Agreements and Awards • Negotiations • Disputes • Claims Lodged 	Common practice
HR1.4	Liaison processes of <u>minor and routine</u> industrial matters	Destroy 2 years after administrative use is concluded.	<ul style="list-style-type: none"> • Daily Industrial Relations Management 	Common practice
HR1.5	Processing of disciplinary and grievances investigations where <u>proved</u>	Written warnings to be removed and destroyed after the relevant time has 'spent' as per the disciplinary policy Warnings Involving Children – placed on HR file permanently	<ul style="list-style-type: none"> • Disciplinary Investigations • Case files • Meeting notes • Warning letters 	Section 5 Limitation Act 1980
HR1.6	Processing of disciplinary and grievance investigations where the outcome is <u>unfounded</u>	Destroy immediately after the grievance has been found to be unfounded; or after appeal.	<ul style="list-style-type: none"> • Disciplinary Investigations • Case notes • Case files • Management reports 	Section 5 Limitation Act 1980
HR1.7	Equal Employment Opportunities The process of investigation and reporting on specific cases to ensure that entitlements & obligations are in accordance with agreed Equal Employment Opportunities guideline policies	Destroy 5 years after action completed	<ul style="list-style-type: none"> • Case file / notes 	Section 5 Limitation Act 1980
HR1.8	Occupational Health 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 Workplace • Restrictions • Recommendations 	Section 5 Limitation Act 1980

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HR1.9	Recruitment 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 • Applicant pack • Referee Reports • Interview Reports • Unsuccessful Applications 	Section 5 Limitation Act 1980
HR1.10	Staff Monitoring Performance	Destroy 5 years after action completed	<ul style="list-style-type: none"> • Probation Reports • Performance Reviews • Performance Conversations 	Section 5 Limitation Act 1980
HR1.11	Process of monitoring staff leave and attendance	Destroy 5 years after action completed	<ul style="list-style-type: none"> • Sick Leave • Jury Service • Study Leave • Special/Personal Leave • Leave sheets • Flexitime Calendars • Parental Leave 	Section 5 Limitation Act 1980
HR1.12	Financial Reward	Destroy 7 years after action completed	<ul style="list-style-type: none"> • Job Evaluation rationales 	Common practice
HR1.13	Other HR Strategy	Destroy 3 years after actions completed	<ul style="list-style-type: none"> • Improvement Plan 	Common practice
HR1.14	Termination The process of termination of staff through voluntary redundancy, dismissal and retirement	Destroy 7 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 	Section 5 Limitation Act 1980

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HR1.15	Training and Development Routine staff training processes, not occupational health and safety or children related	Destroy 2 years after action completed Ongoing staff records are kept digitally on the HR system	<ul style="list-style-type: none"> • Course instructions • Course evaluation 	Section 5 Limitation Act
HR1.16	Training (concerning children)	Destroy 35 years after training completed, or last entry	<ul style="list-style-type: none"> • Course instructions • Course evaluation • Training register 	Section 5 Limitation Act 1980
HR1.17	Training (occupational health and safety training)	Individual course assessment records should be destroyed once the training has been renewed every 3 years Ongoing staff records are kept digitally on the HR system	<ul style="list-style-type: none"> • Course evaluation • OH&S training register 	Section 5 Limitation Act 1980
HR 1.18	Training (materials)	Destroy after 3 years	<ul style="list-style-type: none"> • Course notes / handouts • Exercise papers 	Section 5 Limitation Act 1980
HR1.19	Appointments of Statutory Officers The appointment of an individual for a statutory position	Permanent Storage at MDC Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Appointment files 	Section 5 Limitation Act 1980
HR1.20	Appointments of Statutory Officers The process of <u>selection</u> of an individual for a statutory position	Destroy 1 year after date of appointment (if process applicable – does not currently exist)	<ul style="list-style-type: none"> • Vacancies and Application Records • Interview Notes • Prospective Staff Records • Registers of Applicants • Unsuccessful Applications Records 	Section 5 Limitation Act 1980

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Financial Management				
FM1 Accounts & Audit				
Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
FM1.1	Reporting The process that consolidates financial transactions on an annual basis for corporate reporting purposes	Destroy 6+1 years after the financial year has ended.	<ul style="list-style-type: none"> • Consolidated Annual Reports • Consolidated Financial Statements • Statement of Financial Position • Operating Statements • General Ledger 	Common practice
FM1.2	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	Destroy when administrative use is concluded	<ul style="list-style-type: none"> • Consolidated Monthly & Quarterly Reports • Consolidated Monthly & 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 • Delivery Notes/Supplier Statements 	Common practice
FM1.3	Financial Transactions Management Management of the approvals process for purchase, including investigations	Destroy when administrative use is concluded	<ul style="list-style-type: none"> • Appointments & Delegations • Audit Investigations • Arrangements for the provision of goods and/or services • 	Common practice
FM1.4	Identification of the receipt, expenditure and write offs of public monies	Destroy 6+1 years after the conclusion of the financial transaction that the record supports	<ul style="list-style-type: none"> • Allowances • Work Orders • Invoices 	Statutory

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			<ul style="list-style-type: none"> • Credit Card Statements • Cash Books • Receipts • Cheque Counterfoils • Bank Statements • Subsidiary Ledgers (Annual) • Journals (Annual) • Vouchers 	
FM1.5	Processes that balance and reconcile financial accounts	Destroy 3 years after administrative use is concluded	<ul style="list-style-type: none"> • Reconciliation • Summaries of Accounts 	Common practice
FM1.6	Taxation Records	Destroy 6+1 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
FM1.7	Processes involved in the collection of National Insurance Number	As soon as no longer required.	<ul style="list-style-type: none"> • Notification and Input Records 	Statutory
FM1.8	Payroll Accountable processes relating to payment of employees	Destroy 6+1 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
FM1.9	Non-accountable process relating to payment of employees	Destroy after administrative use is concluded	<ul style="list-style-type: none"> • Summary Employee Pay Reports • Dummy pay slips 	Common practice
FM1.10	Non-accountable process relating to payment of employees	Destroy after administrative use is concluded	<ul style="list-style-type: none"> • Summary Employee Pay Reports • Dummy pay slips 	Common practice

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FM2 Financial Provisions				
Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
FM2.1	Budgets and Estimates The process of finalising Local Authorities' Annual Budget	Destroy 6+1 year after relevant year has concluded.	<ul style="list-style-type: none"> Annual Budget 	Common practice
FM2.2	The process of developing Local Authorities' Annual Budget	Destroy 3 years after annual budget adopted by Local Authorities	<ul style="list-style-type: none"> Draft Budgets Departmental Budgets Draft Estimates 	Common practice
FM2.3	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
FM2.4	Loans The activity of borrowing money to enable a Local Authority to perform its functions and exercise its powers	Destroy 6+1 years after the loan has been repaid [None held at present?]	<ul style="list-style-type: none"> Loan Files 	Statutory
FM2.5	Summary Management of loans	Destroy 6+1 years after administrative use is concluded	<ul style="list-style-type: none"> Loans Registers 	Common practice
FM2.6	Housing Mortgages	Last payment + 6+1 years if signed Last payment + 12 years if sealed	<ul style="list-style-type: none"> Mortgage Agreements Correspondence 	Statutory
FM2.7	Home Improvement Grants	Destroy 6+1 years after last payment for grants under £50,000. For grants over £50,000 destroy 12 years after last payment Where plans and detailed drawings included offer to Archivist	<ul style="list-style-type: none"> Agreement to Pay Loan Details of Payment Correspondence Relating to Loan Approval notice Application documents 	Statutory

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FM2.8	<p>Council Tax Valuation The valuation of rateable land within a municipal district for the purpose of the making of the rate</p>	<p>Valuation lists – Permanent Storage at MDC Transfer to place of deposit after administrative use is concluded</p>	<ul style="list-style-type: none"> • Rate Books • Rate Cards • Register of Rateable Properties 	Statutory

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FM3 Revenues & Benefits				
Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
FM3.1	<p>Council Tax and Non Domestic Rate Administration</p> <p>The activity corresponding with ratepayers and Council Tax Payers in relation to liability, objections, submissions, appeals, discounts, reductions, exemptions and other related matters.</p>	<p>Electronic records – destroy 6 years after the end of the financial year in which the records relate</p> <p>Paper records after scanning – destroy 3 months after the records have been scanned (for QA process).</p>	<ul style="list-style-type: none"> • Notices • Objections • Applications • Correspondence • Council Tax and Non Domestic Rate Property Files • Tax and Interest information 	<p>Statutory</p> <p>Common practice</p>
FM3.2	<p>Housing Benefit and Council Tax Benefit/Support</p> <p>The activity corresponding with claims for Housing/Council Tax Benefit and/or Local Council Tax Support(LCTS), appeals, requests for reconsideration of decisions, records of investigations and visits</p>	<p>Electronic records – Destroy 6 years after the end of the financial year in which the records relate</p> <p>Paper records after scanning – destroy 3 months after the records have been scanned (for QA process).</p>	<ul style="list-style-type: none"> • Benefit/LCTS claim forms • Letters • Appeals and requests for reconsiderations • Copies of evidence used for verification of claim • Records of visits and investigations 	<p>Statutory</p>
FM3.3	<p>Council Tax / Non Domestic / Housing/Council Tax Benefit & Local Council Tax Support Statutory and Statistical Returns</p>	<p>Electronic records – Destroy 6 years after the end of the financial year in which the records were created</p>	<ul style="list-style-type: none"> • Stats 128 • Stats 121 • Stats 122 • Stats 124 • QRC4 • NNDR1 • NNDR3 • CTB1 	<p>Common practice</p>
FM3.4	<p>Housing/Council Tax Benefit Financial returns</p> <p>The process that consolidates financial transactions on an annual basis for the purposes of the initial, revised and final subsidy claim to the Department of Work</p>	<p>Destroy 6 years after the end of the financial year in which the records were created</p>	<ul style="list-style-type: none"> • Estimate submission • Final signed subsidy claim • Final Audited subsidy claim 	<p>Statutory</p>

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	and Pensions			
FM3.5	<p>Fraud Investigation Records relating to the investigation and any subsequent sanction, penalty or prosecution</p>	<p>No fraud proved – Destroy 12 months from closure of file</p> <p>Penalty or sanction – Destroy 3 years from date accepted by claimant</p> <p>Prosecution – Destroy immediately after the conclusion of proceedings (after the appeal period has passed) from date of conviction or for the duration of the conditional discharge</p>	<ul style="list-style-type: none"> • File records • Interview notes • IUC Tapes 	Common practice

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Council Asset & Infrastructure Management

AI 1 Property Acquisition & Disposal				
Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
AI 1.1	<p><u>Acquisitions</u></p> <p>Assets over £50,000</p> <p>Any papers concerning the management of the acquisition (by financial lease or purchase) process for assets and real property</p>	Destroy 12 years , after all obligations / entitlements are concluded	<ul style="list-style-type: none"> • Legal Documents Relating to the Purchase / Sale • Particulars of Sale Documents • Survey particulars • Leases • Applications for Leases, Licences & Rental Revision • Tender Documents • Conditions of Contracts • Certificates of Approval 	Statutory RGLA 7.29 Limitations Act 1980
AI 1.2	<p>Assets under £50,000</p>	Destroy 6 years , after all obligations / entitlements are concluded	As above	Statutory RGLA 7.29 Limitations Act 1980
AI 1.3	<p>Deeds</p>	Permanent retention – in Strong Room	<ul style="list-style-type: none"> • Deeds and associated documentation 	
AI 1.4	<p><u>Disposal</u></p> <p>Assets over £50,000</p> <p>Documents relating to the management of the disposal (by sale or write off) process for assets and real property</p>	Destroy 12 years , after all obligations / entitlements are concluded	<ul style="list-style-type: none"> • Legal Documents Relating to the Purchase / Sale • Particulars of Sale Documents • Survey particulars • Leases • Applications for Leases, Licences & Rental Revision 	Statutory RGLA 7.29 Limitations Act 1980

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			<ul style="list-style-type: none"> • Tender Documents • Conditions of Contracts • Certificates of Approval 	
AI 1.5	Assets under £50,000	Destroy 6 years , after all obligations / entitlements are concluded	As above	Statutory RGLA 7.29 Limitations Act 1980
AI 1.6	Sale or write off of property Management of the disposal (by sale or write off) process for real property	Destroy 15 years , after all obligations / entitlements are concluded	<ul style="list-style-type: none"> • Legal Documents relating to the purchase / sale • Particulars of Sale Documents • Survey particulars • Tender Documents • Conditions of Contracts 	Common practice RGLA 8.3

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AI 2 Land & Property Management				
Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
AI 2.1	Accessibility Documentation and information relating to the access of property owned by the Council	Destroy - 7 years from closure	<ul style="list-style-type: none"> • Key-holder Information • Details of Contractors 	Common practice
AI 2.2	Building surveys Data collected from surveys conducted on council buildings	Destroy - 7 years from closure	<ul style="list-style-type: none"> • Condition Surveys • Warranties 	Common practice
AI 2.3	Certification Certificates of approval	Destroy - 7 years from closure	<ul style="list-style-type: none"> • Statutory Surveys 	Common practice
AI 2.4	Energy management Within Council property	Destroy - 7 years from closure	<ul style="list-style-type: none"> • Council's Energy Management contract • Energy Performance Certification 	Common practice
AI 2.5	Equipment disposal Process involved in the disposal of Council equipment	Destroy - 7 years from closure	<ul style="list-style-type: none"> • Agreements to dispose of equipment 	Common practice
AI 2.6	Internal agreements Specific to internal agreements concerning Council property	Destroy - 7 years from closure Normally reviewed annually or periodically during life of agreement. Destroy 2 years after expiry of agreement.	<ul style="list-style-type: none"> • Internal SLAs / internal departmental agreements 	Common practice

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AI 2.7	Land and property history Historical documents about Council owned land and property	Retain for life of property or building plus 12 years. Consider transfer to Essex Records Office depending upon nature of document/building before destruction.	<ul style="list-style-type: none"> Plans 	Common practice RGLA 8.2
AI 2.8	Leasing The process of managing leased property	Destroy 15 years after the expiry of the lease	<ul style="list-style-type: none"> Lease agreements Valuation queries Applications for leases/licences 	Common practice RGLA 8.8
AI 2.9	Managing the occupancy of property	Destroy 7 years after the conclusion of the transaction that the record supports	<ul style="list-style-type: none"> Requests for Works, Cleaning etc. 	Common practice RGLA 8.9
AI 2.10	Property management and renovation Buildings and estates of 'special interest' Other buildings and estates	Transfer to place of deposit after administrative use is concluded Retain for the life of the building	<ul style="list-style-type: none"> Project Specifications Plans Installation Manuals Certificates of Approval Work Orders Tender Documents Conditions of Contract 	Common practice RGLA 8.5 RGLA 8.6
AI 2.11	Security Security and processes related with security of the council's property	Destroy 7 years after the conclusion of the process that the record supports.	Documentation held by Facilities Management	Common practice
AI 2.12	Usage statistics Any data held concerned with usage of Council land property	Destroy - 3 years after expiry of lease / agreement	Documentation held by occupier, if requested	Common practice
AI 2.13	Valuations Valuation documentation and statistics	Destroy - 6 years from end of financial year after disposal of property	Valuations on disposal	Common practice

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AI 3 Maintenance of Council Property				
Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
AI 3.1	Maintenance Instruction manuals related to council property	Destroy - 7 years after last action	<ul style="list-style-type: none"> • Instruction manuals 	Common practice RGLA 7.27
AI 3.2	Planned maintenance Relating to the process of managing and undertaking planned maintenance of property	Destroy - 7 years after last action	<ul style="list-style-type: none"> • Cleaning • Painting • Garden maintenance 	Common practice RGLA 7.27
AI 3.3	Refurbishment Relating to the process of managing and undertaking planned renovations and development of property	Destroy - 7 years after last action	<ul style="list-style-type: none"> • Work orders • Tender documents • Conditions of contracts 	Common practice RGLA 8.7
AI 3.4	Responsive maintenance Relating to the process of managing and undertaking emergency maintenance of property	Destroy - 7 years after last action	<ul style="list-style-type: none"> • Cleaning • Painting • Garden maintenance 	Common practice RGLA 7.27

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AI 4 Information & Communication Technology				
Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
AI 4.1	ICT Systems Management Computer Systems documentation	Destroy after 2 years	<ul style="list-style-type: none"> • Release notes & associated implementation documents 	Common practice
AI 4.2	Project documentation for system(s) implementation	Destroy after 6 years	<ul style="list-style-type: none"> • Implementation Plan • Project initiation Document (PID) • Project documentation & notes • Software Licensing Agreements • 	Common practice
AI 4.3	Technical data relating to Information & Communication infrastructure	Reviewable Destroy records as they become obsolete or are no longer required.	<ul style="list-style-type: none"> • Supplier details 	Common practice
AI 4.4	Records of internet use	Delete 3 months (recurring 99 days as per system)		Common practice
AI 4.5	E-mail records	Destroy 6 years after date of email		Common practice

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AI 5 Transport Management				
Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
AI 5.1	Transport Management - The process of managing allocation and maintenance of vehicles	Destroy 7 years after the sale or disposal of the vehicle	<ul style="list-style-type: none"> • Approvals as Drivers • Allocations & Authorisations for Vehicles • Maintenance 	RGLA 8.15
AI 5.2	Acquisition and disposal of vehicles through lease or purchase	Destroy 7 years after the disposal of the vehicle	<ul style="list-style-type: none"> • Leases • Contracts • Quotes • Approvals • Fleet Authorisation Numbers 	RGLA 8.14
AI 5.3	Recording vehicle usage	Destroy 3 years after the sale or disposal of the vehicle	<ul style="list-style-type: none"> • Vehicle Usage Reports 	RGLA 8.16
AI 5.4	Recording drivers usage	Destroy 7 years after closure	<ul style="list-style-type: none"> • Vehicle Log Book 	RGLA 8.17

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AI 6 Insurance				
Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
AI 6.1	Policy Management The summary management of insurance arrangements	Permanent Storage at MDC Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> Insurance Policies 	Statutory
AI 6.2	The process of insuring Local Authority Officers, property, vehicles and equipment against negligence, loss or damage	Destroy 6+1 years after the terms of the policy have expired	<ul style="list-style-type: none"> Insurance Register Correspondence 	Statutory
AI 6.3	The process of renewing insurance policies	Destroy 6+1 years after the insurance policy has been renewed	<ul style="list-style-type: none"> Insurance Policy Renewal Records Correspondence 	Statutory
AI 6.4	Claims Management The process that records insurance claims against the Local Authority or Local Authority Officers	Destroy 6+1 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

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AI 7 Health & Safety				
Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
AI 7.1	Inspections and Assessments Process of inspecting equipment to ensure it is safe	Destroy 6 years from disposal of the equipment	<ul style="list-style-type: none"> Equipment Inspection Records 	Common practice
AI 7.2	Process of carrying out monitoring to ensure that a work process is safe	Keep for 21 years before considering destruction	<ul style="list-style-type: none"> Monitoring Results Inspection reports Maintenance records 	Common practice
AI 7.3	Process of monitoring of areas where employees and persons are likely to have become in contact with asbestos	SRP - Destroy 40 years from date of last entry	<ul style="list-style-type: none"> Property Asbestos Files Health Surveillance reports Medical records under Control of Asbestos at Work Regs. 	Statutory
AI 7.4	Process of monitoring of areas where employees and persons are likely to have come in contact with radiation	SRP – Retain until the person reaches 75 years of age but in any event for at least 50 years	<ul style="list-style-type: none"> Radon Monitoring Health Surveillance reports Medical reports under Ionising Radiations Regs. 1999 	Statutory
AI 7.5	Process to ensure safe systems of work	Retain until superseded or process ceases +1 year	<ul style="list-style-type: none"> Departmental Procedure Notes Method Statements 	Common practice
AI 7.6	Process to assess the level of risk	Destroy 3 years from last assessment	<ul style="list-style-type: none"> Risk Assessment 	Common practice
AI 7.7	Permits to work	Destroy 3 years from last action or expiry before considering destruction	<ul style="list-style-type: none"> Fire Safety Certificates First Aid Certificates 	Common practice
AI 7.8	Reporting of accidents	SRP – 3 years from the date of the last entry (or if the accident involves a child/young adult then until that person reaches age of 21 years).	<ul style="list-style-type: none"> Accident Books Accident records/reports 	Common practice

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AI 8 Emergency Planning				
Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
AI 8.1	Emergency Plan Process to develop the emergency / disaster plan for the local community	Destroy when plan superseded	<ul style="list-style-type: none"> • Civil Emergency Plan • Business Continuity Plan 	Common practice
AI 8.2	Process of recording the results of the test for emergency/disaster plan for the local community	Destroy 3 years after closure or until similar test is undertaken, whichever is the longest.	<ul style="list-style-type: none"> • Exercise Orders • Results of Exercise • Action Plan 	Common practice
AI 8.3	Incident Monitoring Activities that report on all major incidents in the local community, whether the Emergency Plan has been invoked or not.	Permanent Storage at MDC Transfer to place of deposit after administrative use is concluded. Longer-term consider transfer to Archive/Museum of local history.	<ul style="list-style-type: none"> • Incident Log 	Common practice
AI 8.4	Activities that report on all minor incidents in the local community, whether the Emergency Plan has been invoked or not.	Destroy 7 years after closure	<ul style="list-style-type: none"> • Exercise Orders • Results of Exercise • Action Plan 	Common practice

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General Public Services				
GPS1 Investigation & Licensing				
Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
GPS1.1	Enforcement, Certification and Prosecution Summary management systems that allow the monitoring and management of registration, certification and licenses registration requirements in summary form	Retain for as long as there is an administrative purpose	<ul style="list-style-type: none"> • Public register • HMO Licensing/Inspections • Housing Act orders • Private water supply • Environmental permitting • Nuisances 	Common practice
GPS1.2	The administration of applications, registration, certification and licenses in relation to Local Authorities' registration requirements	Destroy 2 years after registration or entitlement lapses	<ul style="list-style-type: none"> • Applications for Animal Registration • Applications for registration of a Business Premises • Registers • Certificates of Registration of Taxi Drivers • Gaming Licensing 	Common practice
GPS1.3	The process involved in licensing sites for the holding or use of toxic or hazardous substances (including petroleum, agricultural chemical products or herbicides)	Permanent Storage at MDC Transfer to place of deposit after administrative use is concluded – 60 years after registration or entitlement lapses	<ul style="list-style-type: none"> • Diesel Licenses • Petroleum Licenses • Health and Safety Licensing • Hazardous Substances • Contaminated Land Register/Pollution 	Statutory
GPS1.4	Notification The process of issuing notices to citizens with respect to particular responsibilities	Destroy 2 years after the matter is concluded	<ul style="list-style-type: none"> • Fire Prevention Notices • Fire Prevention Infringement Notices • Objections to Notices • Appeals Against Notices • Registration of Premises Infringement Notices • Animal Impounding Notices 	Common practice

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GPS1.5	<p>Investigation, Inspection and Monitoring The process of investigation and monitoring where inspection is the Council's responsibility by law.</p>	Destroy 7 years from last action	<ul style="list-style-type: none"> • Inspection records • Certificates of compliance 	Common practice
GPS1.6	<p>Prosecution The process of prosecution or sanction of an individual or organisation for failing to comply with their legal responsibilities</p>	Destroy 6 years from last action	<ul style="list-style-type: none"> • Prosecution / Sanction Files • FPN/PCN Files • Files relating to sanctions issued by CPOs (i.e. dog fouling, fly tipping, littering, etc.) 	Statutory

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GPS2 Cemeteries				
Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
GPS2.1	Cemeteries Summary management systems that record the location of burials, identity of deceased individuals	Permanent Storage at MDC Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> Register of Interments Cemetery Register Cemetery Plans Exhumation records 	Statute
GPS 2.2	The process of regulation of burials	Destroy 5 years after last action	<ul style="list-style-type: none"> Permits Applications Orders 	Common practice
GPS 2.3	Tributes Application, installation and maintenance of tributes (i.e. benches & plaques, etc.)	Destroy 5 years after last action* *Basic register of tributes kept permanently to assist informing those placing such tributes of any deterioration, damage, requirements to re-locate, etc.	<ul style="list-style-type: none"> Permits Applications Details of location, type, inscription 	Common practice
GPS3 Waste Management				
Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
GPS3.1	Waste Collection The process of arranging the collection or transportation of household waste	Destroy 2 years after last action taken	<ul style="list-style-type: none"> Abandoned Vehicles Bulky Waste Domestic Waste 	Common practice
GP3.2	The process of arranging the collection or transportation of controlled waste	Destroy 6 years after last action taken	<ul style="list-style-type: none"> Inspections, Weighbridge tickets Duty of Care 	Common practice

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GP3.3	The process of managing the Waste Transfer Site	<p>Externally required returns – destroy after 6 years</p> <p>Internally required records (as per EA Permit) – destroy after 2 years</p>	<ul style="list-style-type: none"> • Environment Agency returns • Waste Data Flow returns • Household Waste & Recycling Statistics • Fly-tipping data • Accepted waste • Rejected waste • Despatched waste • Site diary 	<p>Statutory</p> <p>Statutory</p>
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Planning & Development				
PD1 Spatial Planning				
Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
PD1.1	Developing and producing Planning Policy documents setting out a vision, strategic direction and policy framework for the existing and future land use within the District.	Permanent Storage at MDC when plan superseded.	<ul style="list-style-type: none"> Local Development Plan Local Development Scheme Supplementary Planning Guidance. Background evidence to Plan preparations - research studies and surveys 	Town & Country Planning Act 1990
PD1.2	Public and stakeholder consultation to gain approval for Planning Policy documents	Permanent Electronic Storage at MDC Representations are often requested after the Plans have been adopted and are reference points for other planning inquiries and enquiries. Archive on website	<ul style="list-style-type: none"> Public Consultation Documents Public Consultation Representations Public Inquiry Documents – statements and evidence 	Town & Country Planning Act 1990
PD 1.3	Natural and built heritage listing The activity of recording information on specific sites/areas of special interest including historic buildings, monuments and ecology.	Permanent Storage at MDC Transfer to place of deposit after administrative use is concluded.	<ul style="list-style-type: none"> Historic Listed Buildings Register Buildings at Risk Register Building Preservation Notices Conservation Area Designations - Appraisals and Plans Listed building records Sites and Monuments Records Archaeological Records Ecological Records Species Records Definitive maps 	Common practice RGLA 10.3

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PD2 Development Management				
Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
PD 2.1	<p>Planning application registration & processing The process of controlling development of areas through applications for planning permission, prior approvals, listed building consent, advertisement consent, certificates of lawfulness and other such permissions</p>	<p>Transfer Planning Application register to Permanent Storage at MDC once the register has been completed (or at arranged intervals if it is held electronically).</p> <p>Scan all documentation.</p>	<ul style="list-style-type: none"> • Planning Application Register • Planning Application Files and Plans • Decision Notices • Correspondence Relating to Any Objections • S.106 agreements • Article 4 Directions 	Common practice RGLA 10.6
PD 2.2	<p>Application processing related to planning appeals including enforcement appeals and other such proceedings lodged with the Planning Inspectorate.</p>	<p>Permanent Storage at MDC Transfer to place of deposit after administrative use is concluded.</p> <p>Scan all documentation.</p>	<ul style="list-style-type: none"> • Planning appeal files 	Limitations Act 1980
PD 2.3	<p>Pre-Application Enquiries and consultation communication relating to matters within other authorities.</p>	<p>Permanent Storage at MDC Transfer to place of deposit after administrative use is concluded.</p> <p>Scan all documentation.</p>	<ul style="list-style-type: none"> • Pre-application discussions and documents 	Common practice
PD 2.4	<p>The process of enforcing planning, building or land regulations</p>	<p>Permanent Storage at MDC Transfer to place of deposit after administrative use is concluded.</p> <p>Scan all documentation.</p>	<ul style="list-style-type: none"> • Enforcement Notices • Stop Notices • Breach of Condition Notices • Section 215 Notices 	Common practice

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PD 2.5	The process of protecting specific trees or a particular area, group or woodland, or hedges from deliberate damage or destruction.	Permanent Storage at MDC Transfer to place of deposit after administrative use is concluded. Scan all documentation.	<ul style="list-style-type: none"> • Tree Preservation Orders • S.211 notices – work to trees in a Conservation Area • Hedgerow Retention Notices 	Common practice RGLA 10.7
PD 2.6	The process of approving applications for grants to historic buildings	Destroy 5 years after administrative use concluded	<ul style="list-style-type: none"> • 1962 Act Historic Buildings Grant applications and correspondence 	Common practice
PD3				
Land Charges				
Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
PD 3.1	Producing an official Local Authority Search result & maintaining a statutory register The process of investigating any information held by the Council pertaining to a specific property or parcel of land.	Permanent Storage at MDC Transfer to place of deposit after administrative use is concluded. Scan all documentation.	<ul style="list-style-type: none"> • Statutory register of Local Land Charges searches 	Land Charges Act 1975
PD 3.2	The retention of Local Authority search results and information provided by other departments and external organisations for verification purposes .	10 years retention of Electronic document Permanent retention of electronic data on TLC or relevant land charges system.	<ul style="list-style-type: none"> • Copies of completed Local Land Charge searches 	Land Charges Act 1975

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PD4 Street Naming & Numbering				
Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
PD4.1	Street naming and numbering Documentation on the street naming development naming and property numbering/naming	Permanent Storage at MDC in either electronic or paper format	<ul style="list-style-type: none"> • Street Files • Street Records Requests for: <ul style="list-style-type: none"> • Naming of Streets • Numbering of Houses 	Common practice
PD5 Building Control				
Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
PD5.1	The process of regulating the planned use of land or buildings and inspecting building work to ensure compliance	Permanent Storage at MDC Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Building Control Registers • Building Regulation Full Plans • Building Notices • Inspection Reports 	Building Act 1984 & Building Regulations 2000
PD5.2	The process of approving Building Control applications in relation to Listed Buildings	Permanent Storage at MDC Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Building Files • Plans • Specifications • Correspondence • Applications • Permits • Certificates 	Building Act 1984 & Building Regulations 2000 RGLA 10.10

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PD5.3	The process of approving Building Control applications for all other buildings	These can be destroyed 15 years after construction completed, but our policy will be to retain for the time being to enable historic information to be provided and to consider the extent of scanning of all historic files to be scanned on the Document Management System (Comino) before they are destroyed. Note retention of pre-1974 files held by MDC as these include Planning Application records which require permanent storage .	<ul style="list-style-type: none"> • Building Files • Plans • Specifications • Correspondence • Applications • Permits • Certificates 	Building Act 1984 & Building Regulations 2000 RGLA 10.11 & 10.12
PD5.4	The process of inspecting building work for the purpose of ensuring compliance	Destroy 15 years after the issue of a completion certificate	<ul style="list-style-type: none"> • Completion Certificate • Building Inspection Records 	Building Act 1984 & Building Regulations 2000
PD6 Economic Development & Promotion				
Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
PD6.1	Advice to business Information on providing advice to new and existing businesses	Destroy – 7 years after scheme to which information relates is completed	<ul style="list-style-type: none"> • Promotional leaflets • Correspondence 	Common practice
PD6.2	Business awards Information regarding business awards and grants	Destroy – 7 years after scheme to which grant relates is completed	<ul style="list-style-type: none"> • Nomination forms • Promotional literature • Grant award material 	Common practice
PD6.3	Business development Information about activities designed to develop and encourage business development. Including externally	Destroy – 7 years after scheme to which grant relates is completed	<ul style="list-style-type: none"> • Business associations • Business Fairs 	Common practice

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	funded projects and sustainability			
PD6.4	Business development Information about activities designed to develop and encourage business development. Including externally funded projects and sustainability	Destroy – 7 years after scheme to which grant relates is completed	<ul style="list-style-type: none"> • Business associations • Business Fairs 	Common practice
PD6.5	Regional Development Participation in sub/ regional regeneration developments and forums	Destroy – 7 years after scheme to which grant relates is completed	<ul style="list-style-type: none"> • Project files • Forum agendas, papers and minutes 	Common practice
PD6.6	Business Intelligence The collection and management of economic and social data about the District	Destroy 20 years after the material is collected	<ul style="list-style-type: none"> • Socio economic data • Business surveys, responses & analysis 	Common practice

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Safeguarding Children & Vulnerable Adults				
S1 Safeguarding Children & Vulnerable Adults				
Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
S1.1	<p>Safeguarding children & vulnerable adults The process of protecting children and vulnerable adult's health, wellbeing and human rights, and enabling them to live free from harm, abuse and neglect.</p>	100yrs from date of birth.		Good practice
S1.2	<p>Welfare concerns that are referred to Social Care or the Police. E.g. this would include concerns about physical, sexual, emotional or neglect of a child or physical, sexual, emotional, neglect, institutional, financial or discriminatory of a vulnerable adult, disclosures from a child or vulnerable adult about being abused or information from a third party which might suggest a child or vulnerable adult is being abused; concerns about a parent or another adult that uses our services, or a young person who has been abused by another young person.</p>	Records should be kept for 6 years after the last contact with the service user unless longer retention is required to comply with any other statutory requirements, information contained therein is relevant to legal action which has been started, are archived for historical purposes, consist of a sample of records maintained for the purpose of retrospective comparison, involve the transfer of significant information with subject identification, on to aggregated files, relate to individuals and providers of services who have or whose staff have been judged to be unsatisfactory, or are held in order to provide the subject aspects of his or her personal history.		Good practice
S1.3	<p>Welfare concerns that Community Services decide, after consultation, do not necessitate a referral to Social Care or the Police. In such circumstances a record should be made of the concern and the outcome.</p>	Destroy the record 6 years after the child/vulnerable adult concerned ceases to use the service, unless the child or adult are continuing to use the services in the area that the referral initiated from.		Good practice

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S1.4	<p>Concerns about people (paid and unpaid) who work with children, young people or vulnerable adults, for example, allegations, convictions, disciplinary action, inappropriate behaviour towards or vulnerable adults. E.g. where an employee has breached the code of conduct, a record of the behaviour, the action taken and outcome should be recorded.</p>	<p>Personnel files and training records (including disciplinary records and working time records) - retain for 6 years after employment ceases.</p> <p>However the records should be retained for a longer period if any of the following apply:</p> <ul style="list-style-type: none"> • There were concerns about the behaviour of an employee where s/he behaved in a way that has harmed, or may have harmed, a child or vulnerable adult; • The employee possibly committed a criminal offence against, or related to, a child or vulnerable adult; • The employee behaved towards a child or vulnerable adult in a way that indicates s/he is unsuitable to work with children or vulnerable adults <p>In such circumstances records should be retained at least until the employee reaches normal retirement age, or for 10 years if that is longer.</p>	<ul style="list-style-type: none"> • Personnel files and training records (including disciplinary records and working time records). 	Statutory
S1.5	<p>Disclosure and Barring Service checks obtained as part of the vetting process.</p>	<p>The actual disclosure form must be destroyed after 6 months. However, it is advisable that organisations keep a record of the date of the check, the reference number, the decision about vetting and the outcome.</p>		Statutory

