


Organisation	Somerset County Council	
Title	Records Retention Policy	
Author	Peter Grogan	
Owner	Information Governance Manager	
Protective Marking	Unclassified	

POLICY ON A PAGE

Somerset County Council will ensure all users who create, store, transmit or otherwise process information are aware of the rules that apply to the retention periods required for documents and records.

This policy provides information on the types of records and the periods of retention that are within scope, the rules and guidance that must be followed, the standards to be maintained, the risk to users, clients and the Council and the potential consequences of misuse

This document will be distributed to: **All Elected Members, Somerset County Council Staff, 3rd Party Contractors, Seconded and Volunteers**

Key Messages

- All persons who use Council records must ensure their effective management and retention, thus ensuring authenticity, accuracy, accessibility, usability, completeness, compliance, reliability, security, accountability, transparency and integrity of SCC records.
- All records created, captured and maintained will have a retention period assigned, so it is clear how long they should be retained and thus ensuring appropriate retention and subsequent disposal.
- Ephemeral material should not be captured or held in records systems, but should be routinely removed and destroyed.
- If you are unsure as to how to manage retention of Council records contact the Records Management Service.

This “policy on a page” is a summary of the detailed policy document please ensure you read, understand and comply with the full policy

Revision History

Revision Date	Revisor	Previous Version	Description of Revision
01.11.11	Andrea Binding	v.01	Initial Draft
13.03.12	Peter Grogan	v.02	Reformatting
01.08.12	Peter Grogan	v.03	Rewrite, logo, approvers
20.08.12	Peter Grogan	v.04	Revised Retention Schedule
18.03.13	Peter Grogan	v 1.0	HR Comments (Appx 1)

Document Approvals

This document requires the following approvals:

Approval	Name	Date
Information Governance Manager	Peter Grogan	20.08.2012
SIRO	Richard Williams	20.03.2013
Unions / JCC	Carrie-Anne Hiscock	25.02.2013
SCC HR	Richard Crouch	25.02.2013
Elected Members	David Huxtable	

Document Distribution

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FULL POLICY DOCUMENT

1 Policy Statement

The Lord Chancellor's Code of Practice on the Management of Records under Section 46 of the Freedom of Information Act 2000 states "*Authorities should ensure they keep records they will need for business, regulatory, legal and accountability purposes*"¹ and that "*Authorities should define how long they need to keep particular records, should dispose of them when they are no longer needed and should be able to explain why records are no longer held*"².

Somerset County Council (SCC) recognises that records are an important corporate asset that is vital to the effective functioning of the organisation. It recognises records are a source of administrative, evidential and historical information, which support current and future operations and provide the corporate memory of the Council.

SCC will ensure authentic, accurate, accessible, complete, comprehensive, reliable and secure records are managed and retained that conform to legislative and best practice retention obligations, as stipulated by the Local Government Classification and Retention Scheme (LGCRS) and any applicable statutory requirements and codes of practice.

SCC will ensure that every officer and elected member is aware of, and understands, their responsibilities for the effective retention of records, throughout the records lifecycle, from creation to disposal or retention as a corporate archive.

This policy should be read and applied in conjunction with the [Records Management Policy](#), [Data Destruction Policy](#) and [Generic Retention Schedule \(attached\)](#).

2 Purpose

The purpose of this policy is to provide a framework for the retention of records created, maintained and used by SCC in the course of business and service delivery. Together with the Records Management Policy, Data Destruction Policy and Generic Retention Schedule, the policy will ensure compliance and assist with contributing to supporting evidence of operation and decision-making relating to the retention of records within the Council.

As stated in the records management standard ISO 15489, '*Any records created or captured need to have a retention period assigned, so it is clear how long they should be maintained.*'³ The policy will:

Ensure records are held for the correct length of time to meet legislative, regulatory, financial and administrative requirements.

Ensure all records, in all mediums, have a retention period applied at point of creation, which is reviewed throughout the records lifecycle, and is checked prior to disposal of the record to ensure current compliance.

Ensure records are managed securely throughout the records lifecycle, according to their sensitivity, access and retention requirements.

Ensure records are timely and securely disposed of once use is concluded, prevent premature destruction of records, reduce unnecessary duplication, reduce retention of ephemeral material.

¹ Lord Chancellor's Code of Practice on the management of records, 8 – Keeping records to meet corporate requirements – p.14

² Lord Chancellor's Code of Practice on the management of records, 12 Disposal of records – p.20

³ ISO 15489-1, 4.2 Determining documents to be captured into a records system - p.11

support decision-making and service delivery, ensure records with corporate or historical value are identified and retained as an archive.

Support other key Council policies, such as the Records Management Policy (RMP), Data Destruction Policy (DDP), Corporate Information Security Policy (CISP) and Data Protection Policy (DPP).

3 Scope

The policy applies to all Employees, Elected Members, Committees, Directorates, Partners and contractual third parties and agents of the Council who have access to records held or processed by SCC. It stipulates their duties and responsibilities for the effective retention of records, in order to comply with the policy and legislative, regulatory, financial and best practice requirements.

The policy applies to the retention of all records, in all mediums, throughout the records lifecycle, from creation to disposal or retention as a corporate archive.

4 Definition

This document defines the framework for policy, practice and procedure to ensure the effective retention of information held by SCC. Consistent adoption and application of retention schedules and retention periods and subsequent disposal of records is essential to ensure legislative and regulatory compliance, to support the Council in key decision making and service delivery and to ensure management and control of information assets.

4.1 Retention Governance

Retention periods are governed by legislation, regulation, financial requirements and business need. Records should be retained for as long as they are needed and should be destroyed as soon as they cease to be required, thus minimising the costs associated with their maintenance and storage and ensuring retention compliance. Retention periods are fluid, governed by changes to legislation or business need. Therefore, their current accuracy and relevance should be reviewed before application and destruction of records.

There is minimal specific legislation stipulating mandatory retention periods within local government. The majority of retention is determined by risk analysis and business need, defined by common practice, industry standards and guidelines produced by The National Archives (TNA) and the Information and Records Management Society of Great Britain (IRMS). The IRMS has produced the Local Government Classification and Retention Scheme (LGCRS), which is the industry standard for retention governance within local government. Other factors to be considered, where there is no statutory retention requirement, include cost of storage, access requirements and appropriate storage format.

During the course of normal business, many documents are created that after a short period of time serve no purpose and thus become ephemeral. It is therefore essential all records have a retention period applied at point of creation, which is realistic and which is periodically reviewed, thus ensuring the unnecessary retention of records that have no long-term business need or value once their use is concluded.

ISO 15489-1 states records should be retained that:

- Meet current and future business needs
- Evidence and record past and present decisions
- Are authentic and reliable

- Have integrity and accountability by retaining the context of the record, even where the records systems in which they are retained have undergone significant changes
- Are destroyed in an authorised and systematic manner once their use and retention has been concluded.⁴

Key legislative requirements for generic Council records include⁵:

- Tax Legislation: Minimum retention periods for certain financial records are imposed by statutes such as the VAT Act 1994, and the Taxes Management Act 1970.
- Statutory Registers: Various local government statutes require registers to be kept of certain events, notifications, or transactions and that these records be maintained on a permanent basis, unless the legislation concerned stipulates otherwise.
- The Audit Commission Act 1998: Auditors have a right of access to records necessary for the purposes of carrying out audit functions under the Act.
- Local Government Act 1972: This governs public access to certain documents relating to Council and Committee meetings that form part of the public agenda.
- Freedom of Information Act 2000: Gives the public a right of access to information and to receive that information (subject to exemptions). It is a criminal offence to destroy information or to deliberately withhold information to prevent disclosure.
- Data Protection Act 1998: Regulates how personal information is managed, protects individuals against inappropriate use of personal information, provides a right of access and ensures personal data is not held for longer than necessary.
- The Limitation Act 1980: Specifies time limits in which potential legal action and claims can be taken against an organisation.

Other applicable legislation and regulations, specific to the business function of the Council, include the Employment Act 1980, Highways Act 1980, Education Act 1981 & 1986, The Children Act 1989 and the Management of Health and Safety at Work Regulations 1992.

4.2 Definition of a Retention Schedule

A Retention Schedule is a document that lists the various categories of records and the periods of time those records are to be retained. The Retention Schedule does not list individual files but identifies records by their category, collection or group, e.g. Committee minutes, planning applications, client case records, etc. A Retention Schedule should reflect the key functions of the Council, similar to the business classification scheme or file plan.

Regardless of how good a Retention Schedule is created, it is the implementation of that schedule that is most important. In general terms a simple schedule that is well implemented is to be preferred to a complicated schedule that is poorly implemented⁶.

The Retention Schedule will list:

- Class title for the category, collection or group of records
- Minimum retention period for each category

⁴ ISO 15489-1, 9.2 Determining how long to retain records - p.12

⁵ Local Government Classification Scheme, Information and Records Society of Great Britain, 2007, 2.5 Retention Scheduling – p.4

⁶ Local Government Classification Scheme, Records Management Society of Great Britain, 2007

- Applicable rationale governing the retention period, i.e. legislation, regulation or best practice
- Applicable disposal decision i.e. destroy, review of transfer to Archives

SCC retention schedules have been adapted from guidelines produced by the IRMS LGCRS and TNA. They are the definitive policy for retaining records within SCC. They ensure compliance, support service delivery and provide a system for the systematic disposal of information, preventing premature destruction or unnecessary retention.

It is SCC policy and procedure that all records, in all formats, will be governed by an applicable retention period, based on legislative requirements or business need, which will be documented in either the [Generic Retention Schedule](#), service specific retention schedule, file classification scheme or document management system.

Retention Schedules are fluid policy documents that will require periodic revision in order to ensure continued applicability and to enable new categories to be created or new regulations affecting retention to be applied.

A Retention Schedule:

- Reduces unnecessary retention by enabling efficient and managed appraisal and disposal
- Reduces costs associated with unnecessary retention, including storage, wasted staff time and possible financial penalty
- Ensures compliance with relevant legislative requirements, such as the Data Protection Act 1998 and the Freedom of Information Act 2000
- Ensures records of significant value are identified and managed appropriately
- Encourages consistency in retention decisions across the organisation
- Encourages identification, use and accessibility of records
- Enables accountability and transparency by providing audit trails
- Supports decision making
- Supports service delivery

5 Risks

Somerset County Council recognises that there are risks associated with retention and management of records in order to conduct official Council business.

This policy aims to mitigate the risks. This will ensure compliance with other key record-keeping policies and legislative obligations, including the Local Government Act 1972, 2000 and 2003, Data Protection Act 1998, Freedom of Information Act 2000, etc. There are a variety of risks, some of which can culminate in the Information Commissioner applying fines in excess of £500,000.

Examples of the common risks associated with inappropriate retention of records include:

- Non-compliance with legislative, regulatory, financial or best practice obligations
- Premature destruction
- Excessive retention
- Inappropriate storage and access
- Unnecessary duplication
- Data breach
- Loss, Theft
- Poor decision making, based on inaccurate or incomplete information
- Inconsistent or poor levels of service
- Insufficient administrative and technical controls

- Unnecessary costs – storage, wasted staff time, etc
- Lack of accountability and transparency
- Lack of business continuity
- Loss of public reputation
- Loss of corporate memory

Non-compliance with this policy and the Lord Chancellor's Code of Practice on the Management of Records under Section 46 of the Freedom of Information Act 2000 could have a significant effect on the efficient operation of the Council and may result in financial loss, legal loss or an inability to provide necessary services.

6 Applying the Policy

The policy describes the framework for retaining records within SCC.

6.1 Roles and Responsibilities

In addition to the roles and responsibilities stated in the [Records Management Policy](#):

The Executive

- Is responsible for endorsing the Generic Records Retention Schedule and the corporate framework for retaining records as set out in this policy.
- Is responsible for ensuring inclusion of records retention in the corporate risk assessment framework and business continuity plan.

Directors

- Are responsible for ensuring their directorate has a comprehensive business classification scheme.
- Are responsible for ensuring officers create, manage and retain records in accordance with the business classification scheme, legislative requirements and administrative need.
- Are responsible for ensuring managers and officers are aware of the legislative retention environment in which they operate.

Managers

- Are responsible for identifying and safeguarding records considered vital to the organisation in business continuity plans.
- Are responsible for ensuring records created, used and disposed of by officers are managed in accordance with this policy and supporting policies.
- Are responsible for ensuring officers are aware of records retention requirements, according to their role, and adhere to this policy.
- With the Records Manager, are responsible for determining the appropriate retention period for records, in accordance with statutory obligations and business need
- Are responsible for authorising which records should be transferred to the Records Management Service for off-site long-term storage.
- Are responsible for authorising destruction once retention requirements have been concluded.

Officers, Elected Members, Contractors and Agents

- Are responsible for ensuring effective and appropriate retention of records in connection with their work that are authentic, accurate, accessible, complete, comprehensive, reliable, secure and usable, that support business aims and objectives, that adhere to relevant legislation, policy and guidance and the Records Retention Policy.
- Are responsible for ensuring ephemeral information is routinely removed and destroyed from records, rather than being captured and held in records systems or the Records Management Service.

The Records Management Service

- Will deliver advice, guidance and training to directorates as required on the legislative retention environment.
- Will ensure records are retained in accordance with applicable retention periods, as governed by statutory, legislative, financial and administrative requirements.
- Will determine legal admissibility and evidential value of records when determining and applying retention periods and prior to disposal of records.
- Will ensure compliance with records management codes of practice.
- Will maintain and amend the Generic Retention Schedule as necessary.
- Will create, maintain and amend service specific retention schedules as required.
- Will identify records that are of corporate or historic importance and will transfer these to the Somerset Archives and Local Studies Service for permanent preservation.
- Will review the Records Retention Policy annually.

6.2 Training and Awareness

Since all SCC officers and elected members are involved in creating, maintaining and using records, it is vital that everyone understands their records retention responsibilities as set out in this policy.

Managers will ensure that officers responsible for managing records are appropriately trained or experienced and that all officers understand the need for the proper retention of records.

Managers will ensure all officers are fully compliant with directorate business classification schemes, metadata standards and records retention requirements.

The Records Management Service will advise on application of retention periods and compile service specific retention schedules as required.

The Records Management Service will review, amend and publicise the Generic Retention Schedule as necessary.

6.3 Classification Schemes

All records will be classified in accordance with corporate and specific directorate classification schemes. Classification schemes will stipulate applicable retention periods and governing rationale.

Classification schemes will enable effective retention and disposal of records within directorate record-keeping systems and the Records Management Service.

Further details on classification schemes and record-keeping systems can be found in the Records Management Policy.

6.4 Generic Retention Schedule

The Records Management Service has compiled a [Generic Retention Schedule](#) that lists common categories of records SCC creates and manages, including financial, human resources, health and safety, general management, administration, etc. The Generic Retention Schedule is the foundation for the development of service specific retention schedules. The Generic Retention Schedule has been compiled in accordance with guidelines produced by the IRMS in the LGCRS, which forms the industry standard within the Records Management profession. The Generic Retention Schedule can be found in Appendix A.

6.5 Service Specific Retention Schedules

Each directorate and function of the Council should adopt and apply a retention schedule, specific to the type of records it manages and the legislative environment in which it operates, in order to ensure they are managed effectively and efficiently, are not retained for longer than necessary and are only destroyed legitimately.

Retention schedules should cover all categories of records, in all formats. Retention schedules should reflect the core business function and be in accordance with the business classification scheme or file plan.

The Records Management Service should be consulted in order to create service specific retention schedules. Service specific retention schedules are required in order for the RMS to manage and store records off-site.

The Records Management Service will base retention periods on an assessment of the regulatory requirements, the business need and the administrative purpose of the records. This may also include an analysis of the risk involved in destroying records.

The Records Management Service will base retention periods on guidelines produced by the IRMS in the LGCRS and TNA, which incorporates legislative, statutory, regulatory and common practice requirements.

6.6 Long Term Storage of Paper Records

SCC policy is to only retain records on-site in local offices when required on a regular basis, i.e. during the financial year, during the project or whilst the client case is open, after which they should be transferred to the Records Management Service for off-site storage and management prior to disposal. This will reduce unnecessary and costly on-site storage and ensure effective and efficient management and control.

The Records Management Service's policy and procedures should be applied for off-site storage of semi-current records.

The Records Management Service procedures stipulate that all records received for storage and management will be covered by an applicable retention period, as stated in the service specific retention schedule. Records will be retained in accordance with the Records Retention Policy, Generic Retention Schedule and service specific retention schedules.

The Records Management Service will apply national retention guidelines, as specified by the IRMS in the LGCRS, when defining and advising on retention of records.

Ephemeral material should not be captured by the record-keeping system, but should be routinely removed from records and destroyed prior to long-term storage.

Managers are responsible for authorising which records should be transferred to the Records Management Service for off-site long-term storage. This should be based on applicable retention periods and governing rationale, administrative and access requirements and cost implications. If there is a specific business need to extend retention beyond legislative requirements or guidelines, this will be based on an analysis of the risk and business case.

Alternatives to paper should be considered for long-term storage of records, e.g. scanning.

6.7 Disposal of Records

Records should be routinely identified at the end of the designated retention period and a decision made as to whether destruction is relevant, based on current retention requirements and business need.

Records held with the Records Management Service will be routinely identified and the relevant owners contacted in order to authorise destruction. Destruction of records should be authorised by a person designated with responsibility, i.e. a senior officer.

Records authorised for destruction should be destroyed in accordance with the [Data Destruction Policy](#). All Council records should be confidentially shredded and documented to ensure accountability and to provide an audit trail.

Records of corporate or historical value should be offered to the Somerset Archive and Local Studies Service (see [Records Management Policy](#)).

Records which are subject to a current Freedom of Information or Data Protection request, an investigation or public enquiry must not be destroyed.

6.8 Permanent Preservation

Records with corporate or historical value will be identified as soon as possible during their lifecycle and managed accordingly, as stated in the Records Management Policy, thus ensuring effective management of the corporate archive.

Records to be retained for permanent retention are likely to be those which:

- Provide evidence and information on policies and decisions
- Provide evidence and information about service delivery
- Contribute to the Council's corporate, cultural or historical memory
- Contribute to the County's cultural or historical memory
- Are required for permanent preservation, as stipulated by statute

Further details on permanent preservation of records can be found in the Records Management Policy.

Appendix 1

Governance Arrangements

Policy Compliance

If any employee is found to have breached this policy, they may be subject to Somerset County Council's [disciplinary procedure](#). Where it is considered that a criminal offence has potentially been committed, the Council will consider the need to refer the matter to the police.

If you do not understand the implications of this policy or how it may apply to you, seek advice from the Records Management Service.

Policy Governance

The following table identifies who within Somerset County Council is Accountable, Responsible, Informed or Consulted with regards to this policy. The following definitions apply:

- **Responsible** – the person(s) responsible for developing and implementing the policy.
- **Accountable** – the person who has ultimate accountability and authority for the policy.
- **Consulted** – the person(s) or groups to be consulted prior to final policy implementation.
- **Informed** – the person(s) or groups to be informed after policy implementation.

Responsible	Information Governance Manager
Accountable	SIRO – Head of Client Services
Consulted	Senior Management Team, HR, Unions
Informed	All Members, employees, contractors, volunteers and 3 rd parties

Review and Revision

This policy will be reviewed every 12 months and, if appropriate, will be amended to maintain its relevance. Further reviews will be undertaken to reflect changes in legislation or standards. Policy review will be undertaken by the Records Manager.

References

Internal guidance on the Records Management Service, the Generic Retention Schedule and records retention is available to officers and elected members via the Intranet.

The Records Manager contact is records@somerset.gov.uk.

The following Council policy documents are relevant to this policy, and may be referenced to within this document.

- [Corporate Information Security Policy](#)
- [Data Protection Policy](#)
- [Information Transparency Policy](#)
- [Acceptable Use Policy](#)
- [Legal Responsibility Policy](#)

Records Retention Policy

Appendix A - Generic Retention Schedule

Description	Examples of Records	Point of Closure	Retain For	Statutory / Common Practice	Rationale	Action	Notes	Appraisal Strategy
HUMAN RESOURCES								
Employee personnel files	General employment history, etc	Termination of employment	6	Legislative	Employment Practices Data Protection Code; Limitation Act	Destroy		
Agency staff	Administration of agency staff, timesheets, correspondence etc	End of contract	6	Legislative	Employment Practices Data Protection Code; Limitation Act	Destroy		
Voluntary staff	Correspondence, supervision, etc	End of placement	6	Legislative	Employment Practices Data Protection Code; Limitation Act	Destroy		
Salary records	Casual/overtime/expenses claim forms, etc	End of financial year	6	Regulatory	Taxes Management Act 1970 Working Time Regulations 1998	Destroy		
Sickness monitoring	Employee sickness absence forms	End of financial year	3	Regulatory	Statutory Sick Pay Regulations	Destroy		
Employment Tribunal cases	Case files by employee	Case closed	6	Legislative	Employment Practices Data Protection Code; Limitation Act	Admin & Archival Review		Retain significant cases
Grievances		Termination of employment	6	Legislative	Employment Practices Data Protection Code; Limitation Act	Destroy		
Timesheets and clocking in cards		End of calendar year	2	Regulatory	Working Time Regulations 1998	Destroy		
Annual leave entitlements	Leave cards	End of leave year	2	Regulatory	Working Time Regulations 1998	Destroy		
Training records (excluding H & S) - employees	For individual employees	Termination of employment	6	Legislative	Employment Practices Data Protection Code; Limitation Act	Destroy		
Training records (excluding H & S) - course administration		Training completed	2	Common Practice		Destroy		

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Staff diaries	Annual appointment diaries	End of calendar year	3	Common Practice	Business need	Destroy		
Workforce development planning	Strategy	Superseded	5	Common Practice		Destroy		
Job Evaluation files	Job descriptions, evaluations, etc	Superseded	5	Legislative	Employment Practices Data Protection Code	Admin & Archival Review		Retain random archival sample
Discipline - oral warnings	Case files	Date of warning	6	Legislative	Limitation Act 1980	Admin Review	Previous retention period was 18 months, now extended to 6 years unless merged with HR file, in which case termination + 6, based on business need	
Discipline - written warnings	Case files	Date of warning	6	Legislative	Limitation Act 1980	Admin Review	Previous retention period was 18 months, now extended to 6 years unless merged with HR file, in which case termination + 6, based on business need	
Discipline - warnings involving minors	Case files	Date of warning	6	Legislative	Limitation Act 1980	Admin Review	Previous retention period was 18 months, now extended to 6 years unless merged with HR file, in which case termination + 6, based on business need	
Performance appraisal	Case files	Date of appraisal	5	Common Practice		Destroy	If placed on HR file = Term + 6	
Registers of officer interests, gifts and hospitality		End of financial year	6	Common Practice		Destroy		
Recruitment - unsuccessful applications	Application forms	Position filled	1	Legislative	Sex Discrimination Act 1975; Race Relations Act 1976; Disability Discrimination Act 1995	Destroy		
CRB checks		Date of check	1	Legislative	Police Act 1997; CRB Code of Practice	Destroy		

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HEALTH & SAFETY								
HSE accident report forms - major injuries	HSE reporting forms	Closed	50	Legislative	The Ionising Radiations Regulations Act 1985; Social Security (Claims and Payments) Regulations; Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR); Control of Major Accident Hazards Regulations: Limitations Act, 1980	Admin & Archival Review	Applied 50 year retention due to radon exposure	
Accident books / report forms (adults) - minor injuries	Accident books / IR1 forms	Closed	6	Legislative	Social Security (Claims and Payments) Regulations; Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR) 1995; Control of Major Accident Hazards Regulations: Limitations Act, 1980	Destroy		
Accident books / report forms (children) - minor injuries	Accident books / IR1 forms	Closed	25	Legislative	Social Security (Claims and Payments) Regulations; Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR) 1995; Control of Major Accident Hazards Regulations: Limitations Act, 1980	Destroy		
Risk assessments		Date of assessment	5	Regulatory	The Control of Substances Hazardous to Health Regulations Act 2002	Destroy		
Inventories	Inventory log books of equipment	Disposal of equipment	6	Common Practice		Destroy		
FINANCE								
Annual accounts and reports - SCC	Annual Report	End of financial year	6	Legislative	Local Government Act; Audit Commission Act 1998	Retain		One copy p.a. to be added to publications collection

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Annual accounts and reports - directorate summaries	Annual accounts	End of financial year	6	Legislative	Local Government Act	Destroy		
Audit - internal and external	Investigations, monitoring, etc	End of financial year	6	Regulatory	Accounts and Audit Regulations 2003	Admin & Archival Review		
External funding - UK	Lottery bids, etc	End of financial year	6	Legislative	Accounts and Audit Regulations 2003; Local Government Act	Destroy		
External funding - EU		End of current year	12 *	Legislative	EU Legislation	Destroy	* Retention dependant on actual funding agreement	
CIPFA statistics	Working papers	End of financial year	2	Common Practice		Admin Review	Primary record held by CIPFA	
Capital management	Tabulations	End of financial year	6	Legislative	Local Government Act	Admin Review		
Treasury Management	Loans, borrowing, investments	End of loan/investment	6	Common Practice		Admin & Archival Review		
Estimates / budget monitoring / closing	Working papers	End of financial year	2	Common Practice		Destroy		
Cost centre tabulations	Month end tabs	End of financial year	3	Common Practice		Destroy		
Debtor accounts	Outstanding debt recovery	End of financial year debt recovered/written off	3	Legislative	Local Government Act	Destroy	Legislation = CFY + 6. Reduced in agreement with HMRC.	
Accounts rendered	Income records	End of financial year	3	Legislative	Local Government Act	Destroy	Legislation = CFY + 6. Reduced in agreement with HMRC.	
General banking records	Statements, cheque counterfoils, paying in books	End of financial year	3	Legislative	Local Government Act	Destroy	Legislation = CFY + 6. Reduced in agreement with HMRC.	
Imprest account	Petty cash records	End of financial year	3	Legislative	Local Government Act	Destroy	Legislation = CFY + 6. Reduced in agreement with HMRC.	

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Procurement cards	Statements etc	End of financial year	3	Legislative	Local Government Act	Destroy	Legislation = CFY + 6. Reduced in agreement with HMRC.	
Order books	Order books	End of financial year	3	Legislative	Local Government Act	Destroy	Legislation = CFY + 6. Reduced in agreement with HMRC.	
Advice and delivery notes	Advice notes	End of financial year	3	Legislative	Local Government Act	Destroy	Legislation = CFY + 6. Reduced in agreement with HMRC.	
Invoices	Paid invoice batches	End of financial year	3	Legislative	Local Government Act	Destroy	Legislation = CFY + 6. Reduced in agreement with HMRC.	
Allowances - members	Members allowances	End of financial year	6	Legislative	Local Government Act	Destroy		
Allowances - employees	Travel and subsistence claims	End of financial year	3	Legislative	Local Government Act	Destroy		
Travel warrants		End of financial year	3	Legislative	Local Government Act	Destroy	Legislation = CFY + 6. Reduced in agreement with HMRC.	
GENERAL MANAGEMENT & ADMINISTRATION								
General administrative and correspondence files	Low level correspondence	Periodic	5	Common Practice		Admin Review		
Committee papers - duplicates	Duplicates of signed minutes, reports and agendas	Superseded	5	Common Practice		Destroy	Ensure archival copy retained before destruction	
Committee papers - signed minutes	Signed minutes etc		Retain	Statutory	Local Government Act 1972	Retain	To be deposited with SRO	
Annual Reports - full council	Published annual reports of SCC	End of calendar year	Retain	Statutory	Local Government Act 1972	Retain		Retain 1 copy in archives
Annual reports - directorate copies	Published annual reports of SCC	Superseded	1	Common Practice		Archival review		Retain 1 copy in archives
Quality and Performance Management	Best Value, CPA, EFQM	Completion	5	Common Practice		Admin & Archival Review		

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Corporate Planning and Reporting	Corporate plans, business plans & strategic plans	Completion	5	Common Practice		Admin & Archival Review		Retain 1 copy in archives
Central Government returns	Reports etc to Central Government	Completion	7	Common Practice		Admin & Archival Review		
Project files		End of project	5	Common Practice		Admin & Archival Review		
Project files - EU funded		End of project	12	Common Practice		Admin & Archival Review		
Policies, strategies and procedures	development plans, etc	Completion	5	Common Practice		Admin & Archival Review		
Feasibility studies	Potential projects	End of project	5	Common Practice		Destroy		
Public consultations - minor policies		Completion	1	Common Practice		Admin & Archival Review		
Public consultations - major policies		Completion	5	Common Practice		Admin & Archival Review		
Publications	SCC publications	Date of publication	Retain	Statutory	Local Government Act 1972	Retain		Retain 1 copy in archives
Media cuttings and press releases		Date created	Retain	Common Practice		Retain		Retain 1 copy in archives
Complaints - Stage 1	General complaints made against SCC	Resolution of complaint	2	Common Practice		Admin & Archival Review		Retain those which resulted in significant changes to policy / procedure
Complaints - Stage 2	Detailed responses, Ombudsman, etc	Resolution of complaint	6	Statutory	Limitation Act 1980 Latent Damage Act 1986	Admin & Archival Review		Retain those which resulted in significant changes to policy / procedure

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Drafts	Reports, papers, etc	Superseded	0	Common Practice		Destroy		
DATA PROTECTION								
Data Subject Access Requests (minors)		Date of Birth	25	Common Practice	Limitation Act 1980	Admin Review		
Data Subject Access Requests (adults)		On completion	6	Common Practice	Limitation Act 1980	Admin Review		
FREEDOM OF INFORMATION								
Policies and procedures		Superseded	5	Common Practice		Admin & Archival Review		Retain policy files
Case files - that lead to development of precedents and practice	Major case files	Closed	5	Common Practice		Admin & Archival Review		Retain significant cases
Case files - ordinary	Ordinary case files	Closed	3	Common Practice		Admin & Archival Review		Retain significant cases
Statistics	Request logs, summaries, etc	End of calendar year	10	Common Practice		Admin & Archival Review		Retain summary statistics
Redacted material, access restrictions and exemptions	Policy decisions	Closed	10	Common Practice		Admin & Archival Review		Retain policy decisions
PROCUREMENT								
Contract documents	Unsealed contracts	End of contract	6	Statutory	Limitation Act 1980; Public Services Contract Regulations 1993; Public Supply Contract Regulations 1995	Admin & Archival Review		Retain significant contracts (schools, buildings, trunk roads, motorways, etc

Records Retention Policy

Contract documents	Sealed contracts	End of contract	12	Statutory	Limitation Act 1980; Public Services Contract Regulations 1993; Public Supply Contract Regulations 1995	Admin & Archival Review		Retain significant contracts (schools, buildings, trunk roads, motorways, etc
Unsuccessful tenders	Expressions of interest	Start of contract	1	Common Practice		Destroy		
Leases	Contract documents, invoices, correspondence, etc	Termination of lease	6	Statutory	Limitation Act 1980; Public Services Contract Regulations 1993; Public Supply Contract Regulations 1996	Admin & Archival Review		
LEGAL								
Legal advice	Case files	Case closed	6	Legislative	Limitation Act 1980	Admin & Archival Review		
Litigation case files	Case files	Case closed	7	Legislative	Limitation Act 1980	Admin & Archival Review		Retain significant cases
Conveyancing	Case files	Case closed	12	Statutory	Limitation Act 1980	Admin & Archival Review		
INSURANCE								
Claims	Claims brought against authority	Case closed	6	Legislative	Limitation Act 1980	Admin & Archival Review	May need to be increased due to minors?	Retain significant claims
Insuring against loss	Insurance certificates, policies, register, etc	Termination	6	Legislative	Limitation Act 1980	Admin review		