

Marchwood Parish Council



Retention & disposal schedule

Adopted 22nd June 2009

1 Introduction

The aims of the Schedule are to:

- Assist in identifying records that may be worth preserving permanently as part of Marchwood Parish Council's archives
- Prevent the premature destruction of records that need to be retained for a specified period to satisfy legal, financial and other requirements
- Provide consistency for the destruction of those records not required permanently after specified periods

The Schedule is intended to cover the continuation of records and information from creation through to destruction or for retention for historical or research purposes and is equally applicable to all record formats, including paper, microfilm and electronic. Records identified for permanent preservation can be retained in any format providing that evidential requirements and future retrieval is ensured.

Records identified for destruction under the Schedule may be destroyed in accordance with the provisions of the Schedule. Backup copies stored on alternative media (server/microfilm/paper) should also be destroyed. This is vital to ensure compliance with Data Protection and Freedom of Information legislation.

Some records for permanent preservation will be passed to Hampshire Records Office (Sussex Street, Winchester, Hampshire, SO23 8TH, telephone 01962 846154), which will act as Marchwood Parish Council's archivist.

The Records Management Policy and Retention and Disposal Schedules have been approved by the Parish Council.

2 Reviewing the Schedule

The Schedule provides guidance on minimum and permanent retention periods. The Schedule will be kept under review and updated accordingly. Authority for this will lie with the Clerk through the Council's Policy & Resources Committee.

3 Explanation of Schedule Headings

3.1 Record Types

The major classes of record specifically relating to each function have been identified and recommendations are given for each. However, the list of record types provides examples only and is not exhaustive. The Clerk and Deputy Clerk shall advise on any matters of interpretation.

3.2 Minimum Retention Period

This column gives the minimum period for which the record should be retained before it is destroyed or reviewed.

3.3 Disposal Action

Disposal actions fall into three basic categories:

- (i) Destruction (D), where records should be destroyed after the specified number of years.
- (ii) Review (R) records marked for review are where there may no longer be a legal requirement to retain, but where the decision to destroy is not clear and therefore requiring an assessment of their continuing administrative or historic worth. This decision should be made by Officers of appropriate seniority who are familiar with the content of the record and its likely future usefulness.

The content of general subject based filing systems should be regularly reviewed in line with the Schedule to remove or delete correspondence, circulars and other papers which are no longer useful. The Lord Chancellor's Code of Practice on The Management of Records Under S46 of The Freedom of Information Act 2000 states that 'as a general rule, files should be closed after five years and, if action continues, a further file should be opened'. The destruction of closed files should take place in accordance with the guidelines.

The basic guideline for the retention of general correspondence is three years, however at the end of this period, it may be necessary to review the contents of the correspondence and retain longer where an action arises or until its administrative use is concluded.

- (iii) Permanent (P), these records need to be retained permanently for statutory reasons, or are deemed to be worthy of long term retention because of their administrative or historical significance, this may include record types that succinctly record the past policies and activities of the authority.

3.4 Reason/Notes

- 3.4.1** Where the retention period is set or influenced by legislation this is noted in the final column. Those records of particular historical interest are flagged as 'archive'.

4 Legal Admissibility of Copy and Electronic Documents

- 4.1** The Police and Criminal Evidence Act 1984 allows for the use in court of electronic documents, subject to the use of a set procedure. Additionally the Civic Evidence Act 1995 allows for the use by local authorities of copy and electronic documents in civil cases. In order to ensure the integrity of electronic records and before the destruction of the original paper document regard will be had to the British Standards: *BS6498:2002 Guide to preparation of microfilm and other microforms that may be required as evidence*; and *BIP 0008:2004 Code of Practice for Legal Admissibility and Evidential Weight of Information Stored on Electronically*.

RETENTION AND DISPOSAL SCHEDULE - CONTENTS

REF NO.	DESCRIPTION
1.	CORPORATE PLANNING AND REPORTING
1.1	Strategic Policy/Planning
1.2	Complaints
1.3	Statutory Returns
1.4	Quality and Performance Management
1.5	Public Consultation
1.6	Officers Interests
2.	COUNCIL AND COMMITTEES
2.1	Statutory Meetings
2.2	Informal Meetings
2.3	Members
3.	ELECTIONS
3.1	Conduct of Elections
4.	EMERGENCY PLANNING
4.1	Emergency Planning
4.2	Disaster Recovery and Business Continuity
5.	FINANCE
5.1	Statutory Accounts
5.2	Budgetary Control
5.3	General Income
5.4	General Expenditure
5.5	Loans
5.6	General Financial
5.7	Payroll
6.	HEALTH AND SAFETY
6.1	Inspections and Assessments
7.	HIGHWAYS / TRAFFIC MANAGEMENT
7.1	Transportation Project Files / Traffic Management / Traffic Calming / Street Lighting / Cycleways etc.
8.	HUMAN RESOURCES
8.1	Personnel Administration
8.2	Disciplinary
8.3	Employee Performance and Attendance
9.	INFORMATION TECHNOLOGY
9.1	Systems Design and Maintenance
9.2	Troubleshooting/Advice
10.	INSURANCE
10.1	Policy Management
10.2	Claims Management
11.	LEGAL / ESTATES
11.1	Property Portfolio
11.2	General Legal
11.3	Contracts

REF NO.	DESCRIPTION
12.	LEISURE
12.1	Advice / Arts Developments / Arts and Community Grants / Leisure Centres / Museums / Open Spaces / Tourism / Visitor Information
13.	LICENSING
13.1	Hackney Carriages / Private Hire Vehicles / Charitable Collections / Late Night Refreshments / Lotteries / Public Entertainments etc.
14.	PLANNING
14.1	Planning General
14.2	Production and Implementation of District and Town Plans
14.3	Planning Applications
14.4	Planning Enforcement
15.	PROPERTY AND LAND MANAGEMENT
15.1	Asset Management
15.2	Asset Monitoring and Maintenance
16.	PUBLIC RELATIONS
16.1	Public Relations

REF.	SERVICE/FUNCTION	RECORD TYPES	MINIMUM RETENTION PERIOD	DISPOSAL ACTION Destroy (D), Review (R) Permanent (P) See Guidance	REASON/NOTES
1.	CORPORATE PLANNING & REPORTING				
1.1	Strategic Policy / Planning	Corporate Plans	Permanent	P	Archive Review on regular basis. See guidance notes
		Strategy/policy/project files	While current	R	
		Correspondence day files	3 years	D	
1.2	Complaints	Formal complaints: reports and related papers	5 years after closure of case	R	Local Practice
		Complaints Case Files	5 years after closure of case	R	Local Practice
1.3	Statutory Returns	Reports to Central Government	7 years	D	
1.4	Quality and Performance Management	Service Review	5 years	D	
1.5	Public Consultation	Surveys and Returns	5 years	D	
1.6	Officers Interests	Register of Officers Interests	Permanent	P	Archive

REF.	SERVICE/FUNCTION	RECORD TYPES	MINIMUM RETENTION PERIOD	DISPOSAL ACTION Destroy (D), Review (R) Permanent (P) See Guidance	REASON/NOTES
2.	COUNCIL AND COMMITTEES				
2.1	Statutory Meetings	Signed minute books	Permanent	P	Archive
		Reports considered by council and committees	Permanent	P	Archive
		Agenda papers	6 years	D	Local Government (Access to Information) Act 1985
		Background Papers listed in reports	4 years	D	Local Government (Access to Information) Act 1985
		Notes of Officers taking minutes	Destroy once minutes from which they have been prepared have been approved.	D	
2.2	Informal Meetings (e.g. between members and officers)	Meeting minutes/notes leading to executive decisions by Officers	6 years	R	Review on regular basis. See guidance notes
		Meeting minutes/notes leading to Committee items	Destroy once reports to Committees or Council despatched	R	Review on regular basis. See guidance notes
2.3	Members	Register of Members Financial and Other Interests	18 months after the individual ceases to be a member or where superseded by a more up to date form	D	Standards Board
		Members Interests Declared at Meetings	Permanent	P	Declarations – Now included in Minutes of Meetings
		Members Allowances	3 years	D	Local Practice

REF.	SERVICE/FUNCTION	RECORD TYPES	MINIMUM RETENTION PERIOD	DISPOSAL ACTION Destroy (D), Review (R) Permanent (P) See Guidance	REASON/NOTES
3.	ELECTIONS				
3.1	Conduct of Elections	Declaration of Results/Consolidated returns of votes received (Local Elections only)	6 months from date of elections	D	Copies of documents issued by Returning Officer. Disposal to be in accordance with his statutory timetable of 6 months.
4.	EMERGENCY PLANNING				
4.1	Emergency Planning	Reports/papers/plans relating to implementation of plans for specific incidents	6 years after event	R	Consider passing to archives
4.2	Disaster Recovery and Business Continuity	Business Continuity Plan	Retain while current	R	
5.	FINANCE				
5.1	Statutory Accounts	Published final annual corporate accounts	Permanent	P	Archive
5.2	Budgetary Control	Prepared and/or published annual corporate revenue and capital budgets	Permanent	P	Archive
		Budgetary control papers	2 years plus current financial year	D	Local Practice
		Estimates working papers	2 years plus current financial year	D	Audit Trail

REF.	SERVICE/FUNCTION	RECORD TYPES	MINIMUM RETENTION PERIOD	DISPOSAL ACTION Destroy (D), Review (R) Permanent (P) See Guidance	REASON/NOTES
FINANCE Cont.					
5.3	General Income	Primary documents supporting a payment to the authority, including receipt books, copy receipts or cash register rolls	6 years plus current financial year	D	VAT/Audit. Local dispensations may reduce retention periods of some documents
		Copy invoices issued by the authority – paid	2 years plus current financial year	D	Audit Trail
		Primary documentation of sundry debts (unpaid invoices etc)	6 years plus current financial year	D	Statute of Limitations
		Proofs of delivery to customer or client	2 years plus current financial year	D	Audit Trail
5.4	General Expenditure	Proofs of payments made by the authority, including receipts, cheque stubs etc	6 years plus current financial year	D	VAT/Audit Trail. Local dispensations may reduce retention periods of some documents.
		Vouchers, including invoices	6 years plus current financial year	D	VAT/Audit Trail. Local dispensations may reduce retention periods of some documents.
		Purchase orders, requisitions for goods/services	2 years plus current financial year	D	VAT/Audit Trail. Local dispensations may reduce retention periods of some documents.
		Cheque registers	6 years plus current financial year	D	Statute of Limitations
		Presented cheques	6 years plus current financial year	D	Statute of Limitations

REF.	SERVICE/FUNCTION	RECORD TYPES	MINIMUM RETENTION PERIOD	DISPOSAL ACTION Destroy (D), Review (R) Permanent (P) See Guidance	REASON/NOTES
FINANCE Cont.					
5.5	Loans	Loan Files	7 years following repayment of loan	D	Statutory
		Loan Register	Permanent	P	Archive
5.6	General Financial	Internal audit reports	6 years plus current financial year	D	
		External audit reports	6 years plus current financial year	D	
		Banking – cashier's collection and deposit book	6 years plus current financial year	D	
		Bank statements	6 years plus current financial year	D	Statute of Limitations
		Reconciliations	2 years after administrative use concluded	D	RMS
		Write Off schedules and supporting paperwork	6 years plus current financial year	D	Local
5.7	Payroll	Payroll (electronic or manual)	6 years plus current year	D	Tax
		Claim forms and timesheets (overtime, expenses etc)	2 years plus current financial year	D	Audit
		Copy pay advices (pay slips)	6 years plus current financial year	D	Superannuation/tax
		Individual pay files	Indefinitely for pension purposes	P	Superannuation
		Year end payroll tabulations/totals	6 years plus current financial year	D	Tax

REF.	SERVICE/FUNCTION	RECORD TYPES	MINIMUM RETENTION PERIOD	DISPOSAL ACTION Destroy (D), Review (R) Permanent (P) See Guidance	REASON/NOTES
6.	HEALTH AND SAFETY				
6.1	Inspections and Assessments	Equipment Inspection Records	6 years from destruction of equipment	D	Statutory (RMS)
		Property Asbestos Files/Register	40 years from last action	D	(RMS) Common practice based on statutory requirements
		Risk Assessments	3 years from last assessment	D	Statutory (RMS)
		Accident Books – Injuries to Adults	3 years from closure	D	Statutory (RMS)
		Accident Books – Injuries to Children	25 years from closure	D	Statutory (RMS)
7.	HIGHWAYS/TRAFFIC MANAGEMENT				
7.1	Transportation Project Files Traffic Management Traffic Calming Street Lighting Cycleways etc	Copies of documentation of major projects by Principal Authorities	5 years after completion of project	R	Files relating to minor projects and annual programmes retained until works complete by Principal Authorities. Local Practice
		Permanent TRO	Permanent	P	Archive
		Temporary TRO	Retain while current	R	Local Practice
		Copy Agreements/Licences	Retain while current (at least until Licence period ends)	R	Local Practice

REF.	SERVICE/FUNCTION	RECORD TYPES	MINIMUM RETENTION PERIOD	DISPOSAL ACTION Destroy (D), Review (R) Permanent (P) See Guidance	REASON/NOTES
8.	HUMAN RESOURCES				
	Payroll – see FINANCE				
8.1	Personnel Administration	Employment Register Salary Master File	Permanent	P	
		Personal files (Not records containing Superannuation information i.e. Payroll Files)	6 years plus current financial year (after departure)	D	
		Records relating to staff working with Children	25 years after termination	D	
		Subject based filing (e.g conditions of service, policies, industrial relations)	Retain while current employee plus 1 year after departure	R	Review on regular basis. See guidance notes.
		Application forms (unsuccessful)	6 months	D	
8.2	Disciplinary	Disciplinary and grievance investigation records where proved including: Oral Warning Written Warning Final Warning	Retain for period of employment	D	
		Disciplinary and grievance investigation records where unfounded	Retain for period of employment	D	

REF.	SERVICE/FUNCTION	RECORD TYPES	MINIMUM RETENTION PERIOD	DISPOSAL ACTION Destroy (D), Review (R) Permanent (P) See Guidance	REASON/NOTES
	HUMAN RESOURCES CONT				
8.3	Employee Performance and Attendance	Performance Development Interview Leave and attendance records including: Sick Leave Jury Service Study Leave Flexitime sheets Leave Cards	5 years after action complete 2 years plus current	D D	
9.	INFORMATION TECHNOLOGY				
9.1	System design and maintenance	System documentation	Permanent for life of system including statutory requirements	R	Local Practice
		System and Operating Procedures	Retain while current	D	Local Practice
9.2	Troubleshooting / Advice	Register of calls	Delete entries after 3 years	D	
10.	INSURANCE				
10.1	Policy Management	Insurance Register	Permanent	P	
		Insurance Policies and Correspondence	7 years after terms of the policy have expired	D	
		Policy renewal records and correspondence	5 years after the insurance policy has been renewed	D	
10.2	Claims Management	Claim records and correspondence	7 years after all obligations/entitlements are concluded (allowing for the claimant to reach 25 years of age)	D	

REF.	SERVICE/FUNCTION	RECORD TYPES	MINIMUM RETENTION PERIOD	DISPOSAL ACTION Destroy (D), Review (R) Permanent (P) See Guidance	REASON/NOTES
11.	LEGAL / ESTATES				
11.1	Property portfolio	Purchase files	Retain whilst land owned plus 6 years thereafter	R	
		Sales files	12 years after completion	D	
		Easement files	12 years after completion	D	
		Lease files/evidence of leasehold title	6 years after expiry of lease (12 years if under seal). Any document forming part of title to be permanently retained		
		Deeds if freehold properties	Keep until property transferred to new ownership	R	
11.2	General legal	Civil Litigation files	6 years after last hearing	R	
		Prosecution files	6 years after last hearing	R	
		Section 106 agreements (planning)	Permanent (relevant correspondence 6 years)	P	Local Practice
		Tree preservation orders	Permanent	P	Local Practice
11.3	Contracts	Register or other formal record of tenders and quotations	Permanent	P	Archive
		Unsuccessful tenders and quotations	2 years plus current financial year	D	Audit
		Contract register	Permanent	P	Archive

REF.	SERVICE/FUNCTION	RECORD TYPES	MINIMUM RETENTION PERIOD	DISPOSAL ACTION Destroy (D), Review (R) Permanent (P) See Guidance	REASON/NOTES
LEGAL / ESTATES CONT					
		Contract documents	12 years after period of obligation (if under seal) 6 years after period of obligation (if not sealed)	R	Statute of Limitations. All sealed contracts to be retained. Supporting files to be retained for same period. Consider passing documents relating to significant contracts to archives.
		Contract final accounts	12 years plus current financial year	D	Statute of Limitations
12. LEISURE					
12.1	Advice / arts development, arts and community grants, leisure centre, museums, open spaces, tourism, visitor information	Subject based filing	Retain while current	R	Review on regular basis. See guidance notes
		Leisure facilities – booking forms etc	6 years plus current financial year	D	VAT
13. LICENSING					
13.1	Licensing of hackney carriages private hire vehicles, charitable collections, late night refreshments, lotteries, public entertainments, premises and persons for liqueur etc.	Copies of consultations with District Council	12 months after expiry or withdrawal of licence	D	

REF.	SERVICE/FUNCTION	RECORD TYPES	MINIMUM RETENTION PERIOD	DISPOSAL ACTION Destroy (D), Review (R) Permanent (P) See Guidance	REASON/NOTES
14.	PLANNING				
14.1	Planning – general	Published planning guidance leaflets and booklets, prepared by NFDC affecting the parish	Permanent – one copy of each	P	Archive
		Published development briefs for Marchwood	Permanent – one copy of each	P	Archive
		Planning topic files (e.g. countryside, listed buildings, housing, employment, transport)	Retain while current	R	Review on regular basis. See guidance notes.
14.2	Production and implementation of District and town plans	Initial deposited local plan	Permanent – one copy	P	Archive
		Revised deposited local plan	Permanent – one copy	P	Archive
		Objector's proofs of evidence (deposited prior to public inquiry)	Retain until Local Plan to which it relates is superseded then review	R	
		Authority's proofs of evidence	Retain until Local Plan to which it relates is superseded then review	R	
		Topic Papers prepared by the Authority (deposited prior to enquiry)	Retain until Local Plan to which it relates is superseded then review	R	

REF.	SERVICE/FUNCTION	RECORD TYPES	MINIMUM RETENTION PERIOD	DISPOSAL ACTION Destroy (D), Review (R) Permanent (P) See Guidance	REASON/NOTES
PLANNING Cont.					
		Deposited statement of agreed fact	Retain until Local Plan to which it relates is superseded then review	R	Archive
		Public enquiry: inspector's report	Permanent	P	
		Adopted local plan	Permanent	P	Archive
		Correspondence re local plan	Retain until Local Plan to which it relates is superseded then review	R	Archive
14.3	Planning Applications	Planning application files (paper post 1974). <i>These form Part I of Planning Register held by District Council</i>	Paper applications no longer received. For those still held undecided keep until either approved or for 6 months after refusal provided no appeal is received.	D	Statutory obligation for District Council to retain Planning Register permanently. All new applications are now on NFDC website.
14.4	Planning enforcement	Case details	Until resolved	D	Copy documents only – NFDC is planning authority

15. PROPERTY AND LAND MANAGEMENT					
15.1	Asset Management	Asset Register	Permanent	P	(Local)
		Asset Management Plan	Permanent	P	
15.2	Asset Monitoring and Maintenance	Inventories Stocktaking Acquisition and disposal reports and proposals	2 years after administrative use is concluded	D	
		Service records of plant and equipment	7 years after sale or disposal of asset	D	
		Records relating to the process of acquisition Vehicles: Leases Contracts Quotes Fleet Authorisation Numbers	7 years after sale or disposal of vehicle		
		Vehicle Maintenance Log Vehicle Log detailing drivers usage	7 years after sale or disposal of vehicle	D	
16. PUBLIC RELATIONS					
16.1	Public relations	Formal record of civic events, including photographs	6 years	R	Consider passing to archives
		Press releases	6 years	R	

