

RETENTION AND DISPOSAL SCHEDULE

PEOPLE & LAW

Law

Ref No	Function Description	Retention Period	Examples of Record	Reason
1.1	<p>Litigation The process of managing, undertaking or defending for or against litigation on behalf of the local authority</p>	<p>Destroy 6 years after closure of file. Major litigation – 12 years after closure of file.</p>	<ul style="list-style-type: none"> • Criminal case file • Insurance Claims • Civil case file 	
1.2	<p>Advice The process of providing legal advice on law and practice.</p>	<p>Destroy 6 years after closure of file.</p>	<p>All Council business etc such as:-</p> <ul style="list-style-type: none"> • Housing • Planning • Community Safety 	
1.3	<p>Agreements Process of agreeing terms between organisations Note: this does not include contractual agreements</p>	<p>Destroy 6 years after agreement expires or is terminated (but note may be longer if grant conditions require it).</p>	<ul style="list-style-type: none"> • Partnership Agreements • Service Level Agreements 	
1.4	<p>Conveyance (see also Property Acquisition and Disposal) The process of changing ownership of land or property</p>	<p>Destroy 12 years after registration of title</p>	<ul style="list-style-type: none"> • Conveyancing files 	

Law

Ref No	Function Description	Retention Period	Examples of Record	Reason
1.5	<p>Contracts and Tendering</p> <p>The process of calling for expressions of interest</p>	<p>Destroy 6 years after date of calling expires for unsuccessful parties and 12 years for the successful party.</p>	<ul style="list-style-type: none"> • Expressions of Interest 	
1.6	<p>Specification and Contract Development</p> <p>The process involved in the development and specification of a contract</p>	<p><u>Ordinary Contracts</u> Destroy 6 years after the terms of contract have expired</p> <p><u>Contracts Under Seal</u> Destroy 12 years after the terms of contract have expired</p>	<ul style="list-style-type: none"> • Tender specification 	
1.7	<p>Tender Issuing and Return</p> <p>The process involved in the issuing and return of a tender</p>	<p>Destroy 2 year after end of contract</p>	<ul style="list-style-type: none"> • Opening notice • Tender envelope 	

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Ref No	Function Description	Retention Period	Examples of Record	Reason
1.8	Evaluation of Tender	<ul style="list-style-type: none"> • <u>Ordinary Contracts</u> Destroy 6 years after the terms of contract have expired • <u>Contracts Under Seal</u> Destroy 12 years after the terms of contract have expired 	<ul style="list-style-type: none"> • Evaluation criteria 	
1.9	Successful tender document	<ul style="list-style-type: none"> • <u>Ordinary Contracts</u> Destroy 6 years after the terms of contract have expired • <u>Contracts Under Seal</u> Destroy 12 years after the terms of contract have expired 	<ul style="list-style-type: none"> • Tender documents • Quotations 	
1.10	Unsuccessful tender documents	Destroy 6 years from tender return date.	<ul style="list-style-type: none"> • Tender documents • Quotations 	

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Ref No	Function Description	Retention Period	Examples of Record	Reason
1.11	<p>Post Tender Negotiation The process in negotiation of a contract after a preferred tender is selected</p>	<ul style="list-style-type: none"> • <u>Ordinary Contracts</u> Destroy 6 years after the terms of contract have expired • <u>Contracts Under Seal</u> Destroy 12 years after the terms of contract have expired 	<ul style="list-style-type: none"> • Clarification of contract • Post tender negotiation minutes 	
1.12	<p>Awarding of contract The process awarding of contract</p>	<ul style="list-style-type: none"> • <u>Ordinary Contracts</u> Destroy 6 years after the terms of contract have expired • <u>Contracts Under Seal</u> Destroy 12 years after the terms of contract have expired 	<ul style="list-style-type: none"> • Signed contract 	Statutory
1.13	<p>Contract Management Contract operation and monitoring</p>	<ul style="list-style-type: none"> • <u>Ordinary Contracts</u> Destroy 6 years after the terms of contract have expired • <u>Contracts Under Seal</u> Destroy 12 years after the terms of contract have expired 	<ul style="list-style-type: none"> • Compliance reports • Performance reports 	

Law

Ref No	Function Description	Retention Period	Examples of Record	Reason
1.14	Management and amendment of contract	a) <u>Ordinary Contracts</u> Destroy 6 years after the terms of contract have expired b) <u>Contracts Under Seal</u> Destroy 12 years after the terms of contract have expired	<ul style="list-style-type: none"> • Minutes and papers of meetings • Changes to requirements • Variation forms • Extension of contract • Complaints • Disputes on payment 	
	Bye-Laws			
1.15	Enactment The process of making local laws	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded.	<ul style="list-style-type: none"> • Master set of bye-laws • Policy development documents • Correspondence • Submissions 	
1.16	Administration and Enforcement The process of administering and enforcing bye-laws	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded.	<ul style="list-style-type: none"> • Applications and certificates • Permits • Licences • Infringement notices (parking) • Correspondence 	

People & Development

Ref No	Function Description	Retention Period	Examples of Record	Notes/Comments/ Reason
2.1	Recruitment and Selection	<p>Permanent – to archive when immediate administrative use has concluded</p> <p>Destroy 3 months after closing date. (Anonymous information may be retained longer for analysis if required)</p> <p>Permanent. Anonymised summaries</p> <p>Destroy twelve months after closing date. Hard copies received from applicants</p> <p>Destroy three months after closing date of post applied for</p>	<ul style="list-style-type: none"> • Post Details – Job Outline, Employee Specification, Advertisement, CRB Risk Assessment Form • Record of application forms requested • Equal Opportunity monitoring records • Record of applications received too late 	<p>Non-personal information used for analysis/ comparison. Documents have other managerial uses.</p> <p>Cover telephone, letter and email requests. Used for comparison and analysis.</p> <p>Required by law for monitoring and comparison</p> <p>Retained for dispute resolution</p>

People & Development

Ref No	Function Description	Retention Period	Examples of Record	Notes/Comments/ Reason
2.1	Recruitment and Selection continued	<p>Destroy 12 months after closing date of post</p> <p>Destroy 6 years after invoice payment</p> <p>Permanent (transferred to archive when administrative use has concluded)</p> <p>Destroy 6 months after closing date</p> <p>Destroy 6 months after issue date – copy of disclosure document</p> <p>Permanent – basic record of disclosure having been obtained</p>	<ul style="list-style-type: none"> • Advertising records – official orders, fax confirmations etc • Advertising payments – invoices, payment slips etc • Vacancy pro-forma monitoring records • Unsuccessful applications • CRB Disclosure Records 	<p>Basic record of appointment process – post details, where advertised, person appointed, salary and start date etc.</p> <p>Forms go to departments who are responsible for destruction.</p> <p>Requirement under CRB Code of Practice</p> <p>Permitted under CRB Codes of Practice</p>

People & Development

Ref No	Function Description	Retention Period	Examples of Record	Reason
2.1	Recruitment and Selection continued	<p>Destroy 75 years after date of birth of employee</p> <p>Destroy 6 months after appointment has been finalised</p> <p>Destroy 6 years after termination of employment</p> <p>Permanent. Successful applicant</p> <p>Destroy 6 months after appointment. Records relating to unsuccessful applicants</p>	<ul style="list-style-type: none"> • Employee medical screening records – health questionnaires, medical clearances, workplace adjustments, work restrictions, medical recommendations • Interview notes relating to unsuccessful applicants – shortlisting notes, references, text/exercise results, interview notes • Interview details relating to successful applicants • Records of Chief Officer and Deputy Chief Officer appointments 	<p>Recommended by Records Management Society of Great Britain. Details may be required even after employment has ended</p> <p>Destruction will be the responsibility of the interview panel</p> <p>Transfer documents to employee's personal file.</p> <p>Details of appointment transferred to personal file.</p>

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Ref No	Function Description	Retention Period	Examples of Record	Reason
2.1	Recruitment and Selection continued	<p>Permanent (transferred to archive once administrative use has concluded).</p> <p>Permanent</p>	<ul style="list-style-type: none"> • Interview summary report forms • Commencement and termination forms 	<p>Limited record of interview process completed by interview panel.</p> <p>Copies retained by employing departments on employees' personal files (original forms go to Personnel and Paymasters)</p>
2.2	Personnel General Administration	Permanent (transferred to archive once administrative use has concluded).	<ul style="list-style-type: none"> • Establishment records – staff registers, employee history cards, variations register 	Record limited information about employees and posts including names, date of births, post(s) and dates held, start/finish dates, summary work histories, post histories etc.

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Ref No	Function Description	Retention Period	Examples of Record	Reason
2.2	Personnel General Administration continued	<p>Permanent</p> <p>Destroy 6 years after payment made</p> <p>Permanent – (transferred to archive when administrative use is concluded)</p>	<ul style="list-style-type: none"> • Records of decisions taken by Head of People & Law under delegated powers • Payment records – relating to miscellaneous purchases and payments made by the various sections comprising PMS – materials, equipment, hires, subscriptions, stationery, general bills etc. • Central Department Files – correspondence and communications with other departments and various external organisations 	Actions affect post and establishment history

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Ref No	Function Description	Retention Period	Examples of Record	Reason
2.3	Employee Records	<p>Destroy 6 years after termination of employment - records relating to general employees</p> <p>Destroy 25 years after termination of employment – Personal files of employees employed to work with children where there is a record of a serious complaint or action having been taken in relation to an incident(s) involving persons under 16 years of age.</p> <p>Destroy 3 years after leave has been taken. Normal annual leave, flexi-leave, time-in-lieu etc. NB for employees taking parental support – leave records should be retained for 3 years after the entitlement has been exhausted.</p>	<ul style="list-style-type: none"> • Personal files – comprehensive record of employee’s personal work history from commencement to termination. Includes details of appointment, training record, career progression, disciplinary and grievance letters, staff development reviews etc. • Leave and Attendance Records – includes records of all leave taken (not just annual leave) • Leave and attendance records. Includes records of all leave taken (not just annual leave) 	<p>Recommended by the Records management Society of Great Britain – based on general practice.</p> <p>Will enable the authority to deal with complaints and/or allegations raised after employment.</p>

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Ref No	Function Description	Retention Period	Examples of Record	Reason
2.3	Employee Records continued	<p>Permanent. Serious disciplinary incidents resulting in dismissal or court/tribunal proceedings where health matters are involved or further litigation is anticipated. In the latter case records should be destroyed once possibility of further proceedings has abated.</p> <p>Destroy 2 years after date issued – copy of final written warning held by Personnel</p> <p>Destroy 12 months after date of issue – copy of written warning held by Personnel</p> <p>Destroy 6 months after date of issue – formal verbal warning</p>	<ul style="list-style-type: none"> • Disciplinary Records – includes records of investigation, statements, interview notes etc. 	<p>Retained in archive in separate case file.</p> <p>Copy letter retained on employee's personal file.</p> <p>Copy letter retained on employee's personal file.</p> <p>Note made on employee's personal file.</p>

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Ref No	Function Description	Retention Period	Examples of Record	Reason
2.3	Employee Records continued	<p>Permanent (transferred to archive once administrative use is concluded) – serious incidents resulting in dismissal(s) or court/tribunal proceedings where health matters are involved or further litigation is anticipated. In the latter case the records should be destroyed once possibility of further proceedings has abated</p> <p>Destroy immediately or on conclusion of any appeal process – when allegation is found to be without substance but made in good faith.</p>	Records of investigations into grievance and harassment allegations	<p>Retain in archive in separate case file.</p> <p>Note made on complainant's file of investigation findings and any subsequent action taken.</p>

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Ref No	Function Description	Retention Period	Examples of Record	Reason
2.3	Employee Records continued	<p>Destroy as per Guidelines on disciplinary records – where allegation is founded and disciplinary action is taken against employee(s) as a result</p> <p>Destroy as per disciplinary records guidelines – where allegation is found to be malicious and disciplinary action is taken against complainant</p> <p>Permanent (transferred to archive on termination of employment).</p>	Medical Records	<p>NB Where action is taken as a direct result of the allegation and/or measures taken to prevent recurrence then these must be recorded on complainant's personal departmental file</p> <p>May be required in future in relation to pension release, medical claims etc.</p>

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Ref No	Function Description	Retention Period	Examples of Record	Reason
2.4	Employee/Industrial Relations and General Management Services	<p>Permanent (transferred to archive once administrative use is concluded)</p> <p>Permanent (transferred to archive once administrative use is concluded).</p> <p>Permanent (transferred to archive once administrative use is concluded).</p> <p>Permanent (archive once administrative use is concluded).</p> <p>Permanent (transferred to archive once administrative use is concluded).</p>	<p>Early retirement and voluntary redundancy files – include estimates, case papers, completed forms, guidance notes etc.</p> <p>Best Value miscellaneous guidance.</p> <p>Minimum wage records.</p> <p>Decasualisation of employment.</p> <p>Single Status files.</p>	<p>May be needed for statutory and legal reasons in future.</p> <p>Retained for analytical and comparative purposes.</p> <p>Record history of approvals and implementation.</p> <p>Essential record of legal requirements for changes to conditions of employment.</p> <p>Permanent record of negotiations, agreements and implementation is required.</p>

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Ref No	Function Description	Retention Period	Examples of Record	Reason
2.4	Employee/Industrial Relations and General Management Services continued	<p>Permanent (transferred to archive once administrative use is concluded).</p> <p>Permanent (transferred to archive once administrative use is concluded).</p> <p>Permanent (transferred to archive once administrative use is concluded).</p> <p>Permanent (transferred to archive once administrative use is concluded).</p> <p>Permanent (transferred to archive once administrative use is concluded).</p>	<p>Craft Operative Local Working Agreement.</p> <p>Performance Indicators records</p> <p>Central recharges records</p> <p>Photocopier records</p> <p>Stationery/computer consumables tender information and records</p>	<p>Permanent record of negotiations, agreements and implementation is required.</p> <p>Records required for comparative and analytical reasons.</p> <p>Needed to plot trends and future calculations.</p> <p>Records of contracts and agreements required.</p> <p>Record of tender processes, contracts and agreements need to be retained.</p>

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2.4	Employee/Industrial Relations and General Management Services continued	<p>Permanent (transferred to archive once administrative use is concluded).</p> <p>Permanent (transferred to archive once administrative use is concluded).</p> <p>Permanent (transferred to archive once administrative use is concluded) – general information about the scheme.</p> <p>Destroy 6 years after payment made – records of payments to employees.</p>	<p>Compulsory Competitive Tendering records – includes working papers, correspondence between client and contractor etc.</p> <p>Central Print Unit Major Acquisitions Record</p> <p>Childcare Subsidy Scheme and payments record.</p>	<p>Permanent record of tendering processes and conditions of service needed.</p> <p>Permanent record required of major purchases of plant and equipment.</p> <p>Permanent record required of establishment and development of scheme.</p>

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Ref No	Function Description	Retention Period	Examples of Record	Reason
2.5	Equal Opportunity	Permanent (transferred to archive once administrative use is concluded.	Miscellaneous files relating to the various strands of Equal Opportunity.	Permanent record required of legal and best practice initiatives that have shaped Council policy. Non-personal information.
2.6	Training	<p>Permanent (transferred to archive once administrative use is concluded.</p> <p>Destroy 6 years after termination of employment with the Council (see section for H&S training)</p> <p>Destroy 6 years after termination of employment with the Council</p>	<p>Departmental Files – containing correspondence with Council departments on training related matters.</p> <p>Individual employee training records (excluding apprentices). Relate to PCC staff who have undertaken college courses etc.</p> <p>Modern Apprentice personal files. Contain details of placements, work history, details of appointment, training, disciplinary record</p>	Records contain details of courses, general correspondence and details of fee payments etc.

			and general correspondence etc.	
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Ref No	Function Description	Retention Period	Examples of Record	Reason
2.6	Training continued	<p>Destroy 6 years after programme finishes.</p> <p>Permanent. To archive when immediate administrative use has concluded.</p> <p>Permanent. To archive when immediate administrative use has concluded.</p>	<p>Lancashire Learning Skills Council. Contain general correspondence and financial details etc relating to Modern Apprenticeship Scheme.</p> <p>Member Training Files. Including agendas, minutes of meetings and training information etc.</p> <p>Course administration files. Includes files relating to courses run in-house, information to help trainers with course delivery and general administration relating to courses. Both paper and electronic files.</p>	<p>In line with LLSC contract for all government funded programmes.</p> <p>Non-personal information used for future course administration.</p>

Health & Safety

Ref No	Function Description	Retention Period	Examples of Record	Reason
	Health and Safety			
3.1	Inspections and Assessments Process of inspecting equipment to ensure it is safe	Destroy 6 years from destruction of the equipment	<ul style="list-style-type: none"> • Equipment inspection records 	Statutory
3.2	Process of carrying out monitoring to ensure that the process is safe	Retain 5 years from last action	<ul style="list-style-type: none"> • Monitoring results • Inspection records • Maintenance records 	Statutory for some processes
3.3	Process of monitoring of areas where employees and persons are likely to have become in contact with asbestos	Destroy 40 years from last action	<ul style="list-style-type: none"> • Health surveillance records 	Statutory
3.4	Process to ensure safe systems of work	Retain until superseded or process ceases +3 year	<ul style="list-style-type: none"> • Safe Working Procedures 	

3.5	Process to assess the level of risk	Retain 3 years from last assessment	<ul style="list-style-type: none"> • Risk Assessment 	Statutory
3.6	Processes that permit work	Retain 3 years from last action	<ul style="list-style-type: none"> • Completed Permits to Work 	

Health & Safety

Ref No	Function Description	Retention Period	Examples of Record	Reason
3.7	Process that records injuries to adults	Destroy after 30 years	<ul style="list-style-type: none"> • Accident reports and books 	Based on Statutory
3.8	Process that records injuries to children	Destroy after 30 years	<ul style="list-style-type: none"> • Accident reports and books 	Based on Statutory
3.9	H&S Documents General	<p>Permanent</p> <p>Permanent</p> <p>Permanent – delete records once project is complete + 2 years</p> <p>Permanent</p>	<p>'e' files</p> <p>Fire Warden's List (Word Doc)</p> <p>First Aiders List (Word Doc)</p> <p>CDM Projects (Database)</p> <p>Advice List (Database)</p>	<p>Take hard copy for project health & safety file</p> <p>Records deleted when no longer relevant</p>

		Destroy After 3 Years	DSE Users Eye Screening/Testing (Spreadsheet)	Only for budgeting purposes
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Health & Safety

Ref No	Function Description	Retention Period	Examples of Record	Reason
3.9	H&S Documents General continued	Destroy After 3 Years	Physio Attendance (Spreadsheet)	Only for budgeting purposes
		Permanent	Accident Database	
		Delete records after 5 years	Violent Incident Database	Hard copy retained for 30 years
		Delete after 3 years	Sharps Finds Locations (Spreadsheet)	
		30 years from end date of file Archive after 3 years	Accident/Incident Report Forms	Retain for disability benefit purposes
		30 years from end date of file Archive after 3 years	Violent Incidents Report Forms	Retain For Employee History Purposes

		30 years from end date of file Archive after 5 years	Accident/Incident Investigation Files	Retain For Employee History Purposes
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Health & Safety

Ref No	Function Description	Retention Period	Examples of Record	Reason
3.9	H&S Documents General continued	Destroy 1 year after claim is settled	Compensation claim files	Insurance Officer may keep longer
		30 years from end date of file	Health/fitness checks attendance files	Retain for health history purposes
		30 years from date of completion	DSE user files	Retain for health history purposes
		Permanent Retain all records relevant to an entry until entry is removed	Advice list files	Annually reviewed and undated
		30 years from date treatment commenced	Physio Therapy records	Retain for health history purposes

Health & Safety

Ref No	Function Description	Retention Period	Examples of Record	Reason
3.9	H&S Documents General continued	Permanent Archive when administrative use has concluded	Departmental correspondence	Reference purposes
		40 years	Hand/arm vibration medical checks file	Health surveillance Statutory requirement
		5 years	Corporate Health & Safety Committee meeting file	For historical reference purposes
		Archive after 2 years Destroy after 10 years	Outdoor events files	Reference purposes
		30 years	VDU User Assessment Files	Retain for health history purposes

