

APPENDIX 5

MODEL COMPETENCIES FRAMEWORK

Introduction

This Competency Profile describes the key knowledge and skills required by a Records Manager in a local authority. It can be used as a basis for developing role specifications, identifying training and personal development needs and assessing performance.

The Profile sets out competencies in four categories:

- Business (i.e. Local Government)
- Technical (i.e. records management)
- Personal
- Management

The scope and level of the competencies is based on three assumptions which reflect current best practice:

1. The Records Manager is/will be professionally qualified in records management.
2. The Records Manager is/will be appointed at middle-management level or higher in the organisational structure and will have sufficient authority to operate effectively.
3. The Records Manager's primary role is/will be to develop and implement records management policies, procedures and guidance, and to provide advice on all record-keeping issues in the authority. It is not assumed that s/he will have any direct responsibility for managing or operating facilities (e.g. storage facilities for inactive records) or services (e.g. disposal of confidential waste).

1 Business

1.1 Business Knowledge

- Understands the legislative environment within which local government operates.
- Understands the authority's role, aims and objectives.
- Understands the authority's functions and activities.
- Understands the nature of the authority's relationships with its key external stakeholders.

1.2 Business Orientation

- Understands how records management contributes to the achievement of the authority's aims and objectives.
- Can articulate effectively the benefits of good records management to the authority.
- Demonstrates understanding of the decision-making process within a local government environment.

- Proactively identifies opportunities to raise awareness of the relevance and importance of records management to the authority's business.
- Takes ownership of records management issues within the authority and ensures their successful resolution.

2 Technical

2.1 Legal & Regulatory Framework For Records Management

- Understands the legal and regulatory framework for records management in the UK.
- Contributes to the development and implementation of organisational responses to changes in legislation or regulations directly affecting the management of records.
- Can identify records management implications of changes in other legislation or regulations affecting the Council.

2.2 Records Management Theory and Practice

- Has a sound knowledge of records management theory and practice, including current standards and recognised best practice.
- Applies and adapts records management standards and best practice effectively in the organisational context.
- Understands and can apply a range of records management tools and techniques.
- Has a good knowledge of records management software applications and their use.

2.3 Professional Networking

- Proactively liaises and forms working relationships with colleagues in related fields within the authority.
- Liaises with records managers in other authorities in order to maintain awareness of practice within local government.
- Has a good knowledge of other organisations' records management systems and experiences, in local government and elsewhere.
- Shares and publicises own authority's experience.

2.4 ICT Systems

- Has good knowledge of standard desktop ICT systems.
- Has good knowledge of key organisational ICT systems.

3 Personal

3.1 Professionalism

- Creates a positive impression of records management within the authority.
- Is up-to-date with developments in own field of expertise.
- Demonstrates personal and professional integrity.
- Leads by example on records management practices within the authority.

3.2 Communication

- Makes appropriate use of the available means of communication.
- Communicates clearly, confidently and effectively, both verbally and in writing, with colleagues at all levels.
- Can interpret a brief and create and deliver effective presentations and training to any audience.

3.3 Flexibility

- Is responsive to changing needs within the authority.
- Initiates and manages change where appropriate.
- Is results-oriented and can apply policy flexibly.
- Works effectively in a changing environment.
- Can alter working style to suit different situations.

3.4 Influencing

- Understands and can apply a range of influencing techniques to achieve desired outcomes.
- Can generate interest and enthusiasm in others.

3.5 Teamworking

- Recognises the necessity of working with colleagues across functions to achieve effective results.
- Understands own and others' roles within cross-functional teams and willingly undertakes different team roles. Proactively supports other team members and pursues team targets.

4 Management

4.1 Planning and Performance Management

- Develops sound business plans to achieve aims and objectives.
- Manages the successful achievement of targets within budgets.

4.2 Project Management

- Understands and can apply a range of project management techniques.
- Can plan and manage complex or multiple projects to complete within time, cost and quality targets.
- Can create, develop and manage effective project teams.

APPENDIX 6

RETENTION GUIDELINES

1.1.0 Scope of the Guidelines

- 1.1.1 This document is based on Retention Guidelines issued by the Records Management Society of Great Britain to support local authorities in the areas of Data Protection, Freedom of Information and the Local Government Act.
- 1.1.2 The Guidelines were developed to reflect an understanding of the administrative processes that give rise to record creation. This is intended to make the Guidelines independent of any particular format of record that might be historically created (e.g. card, register) or media (e.g. paper, electronic) and prolong the Guidelines' period of application.
- 1.1.3 The Guidelines are intended to cover the continuum of records and information from creation through to destruction or for retention for historical or research purposes.
- 1.1.4 Records sentenced for destruction under the Guidelines may be destroyed in accordance with the provisions of the Guidelines. Backup copies stored on alternative media (server/microfilm/paper) should also be destroyed. This is vital to ensure compliance with the requirements of Data Protection and Freedom of Information legislation.
- 1.1.5 The Council or any agency acting for it should hold notification of the records destroyed in accordance with the Guidelines on its behalf.
- 1.1.6 Records for permanent preservation should be passed to the Essex County Council Records Office.

1.2.0 Limitation of Scope

- 1.2.1 These Guidelines should only be used for the disposal of common functional and housekeeping records as described in the Guidelines. It should be taken as a baseline to interpret and apply appropriately in accordance with local practice.

1.3.0 Objectives of the Retention Guidelines

- 1.3.1 The aims of the Guidelines are to:
 - 7 Assist in identifying records that may be worth preserving permanently as part of the authority's archives.

- 8 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.
- 9 Provide consistency for the destruction of those records not required permanently after specified periods.
- 10 Promote improved Records Management practices within the Council.

1.4.0 Transfer of Records to Archival Storage

- 1.4.1 Officers wishing to transfer permanent records to archival custody should contact the Essex County Council Records Office, Wharf Road, Chelmsford for further information on transfer procedures. The collection policies of individual archives vary; the identification of classes of records in this document as suitable for archives are for guidance only.
- 1.4.2 The Data Protection Act provides an exemption for information about identifiable living individuals that is held for research, statistical or historical purposes to be held indefinitely, provided specific requirements are met. It is the responsibility of the Archivist to ensure that this is so.
- 1.4.3 Records identified in this schedule as '**permanent**' are marked '**Offer to Archivist**'. The Archivist may choose to select a sample of the records for permanent preservation in the archives; the remainder should be destroyed as specified in the Guidelines. The sample may be random, selective or purposeful.
- 1.4.4 '**Offer to Archivist for review**' is used to indicate record classes where the Archivist will not usually be interested in retaining the class of records, but may wish to retain those concerning high profile or controversial policies/projects.
- 1.4.5 Records no longer required for administrative use may still retain sensitive information. The Archivist should be informed of sensitivity at the time of transfer of the material to the archives, and an appropriate closure period agreed. The closure period should comply with Freedom of Information legislation and Council policy.

1.5.0 Destruction of Records

- 1.5.1 Whenever there is the possibility of litigation, the records and information that are likely to be affected should not be amended or disposed of until the threat of litigation has been removed.
- 1.5.2 When records identified for disposal in the Guidelines are destroyed, a register of such records needs to be kept. For records not covered by the Guidelines contact the Central Services Manager, legal department

or suitable experienced sources for further advice. It is not sufficient to document that a quantity of records had been destroyed on a certain date. Enough details should be retained to identify which records have been destroyed.

1.6.0 Standard Operating Procedure (SOP)

1.6.1 There are some records that do not need to be kept at all; Standard Operating Procedure defines types of records which staff may routinely destroy in the normal course of business. However, the retention and disposal schedule must still contain reference and instructions referring to them.

1.6.2 SOP usually applies to information that is duplicated, unimportant or only of short-term facilitative value. Unimportant records or information include:

- 'with compliments' slips
- catalogues and trade journals
- telephone message slips
- non-acceptance of invitations
- trivial electronic mail messages or notes that are not related to agency business
- requests for stock information such as maps, plans or advertising material
- out-of-date distribution lists
- working papers which lead to a final report

1.6.3 Duplicated and superseded material such as stationery, manuals, drafts, forms, address books and reference copies of annual reports may be destroyed under SOP. Electronic copies of documents where a hard copy has been printed and filed, and thermal paper facsimiles after making and filing a photocopy, are also covered.

1.6.4 SOP should not be applied to records or information that can be used as evidence – to prove that something happened. If you are in doubt about what information is required consult the Head of Legal Services.

1.6.5 All of these may be destroyed by standard operating procedure (that should be part of any ISO 9000 (Quality Management) system).

1.7.0 Reviewing the Schedule

This Guideline prescribes minimum and permanent retention periods. This guideline will also be reviewed at regular intervals.

1.8.0 Enactment of the Standard for Rochford District Council

This Retention and Disposal Schedule was ratified by the Council on ?? day of January 2004 and will be the subject of review by Operational Management Team annually.

Part 2. Explanation of Retention Guidelines Headings

These Retention Guidelines are divided into sections of administrative functions that are commonly undertaken by a District Council.

2.1.0 Reference number

2.1.1 The function or entry reference number provides citation and ease of reference.

2.2.0 Function

2.2.1 The name of each function is specified in this entry. This relates to a group of records that perform the same activity.

2.3.0 Function Description

2.3.1 The Schedule provides notes that define each function in terms of related activities.

2.3.2 The Schedule may also include instructions or guidelines relating to weeding, sampling disposition provisions, information on duplication of record content in other classes and cross-references to other entries within the Schedule.

2.4.0 Retention Action

2.4.1 This entry provides the archival status of each process being either permanent or temporary. In relation to the temporary status of records the entry also provides a retention period or sentence specifying how long the records should be kept prior to destruction and the activity, transaction or event to which the retention period or sentence should be tied.

2.5.0 Examples of Records

2.5.1 This section provides common examples of the type of records included within the particular function. This list is not exhaustive.

2.6.0 Notes

2.6.1 This indicates if the retention action is common practice or statutory.

2.7.0 Glossary of terms

Administrative Use. When business use has been ended or the file has been closed.

Closure. ‘ Destroy ‘x’ years from closure ’. A record/file is closed when it ceases to be active.

After closure, no new papers/information should be added to the record. Triggers for closure of a file include:

- reaching an unmanageable size
- covering a period of 'x' years or more
- no records added for 'x' period of time
- no action taken after 'x' period of time

Closure period. Specified period of time during which the record is subject to restrictions on provision of access to staff and/or the public – dictated by statutory requirements or by the authority’s policy. Any closure period should comply with current legislation on access to local government information - including the Data Protection and Freedom of Information Acts.

Common practice. Standard practice followed by members of the Records Management Society.

Last action. ‘ Destroy 'x' years after last action ’. Date of most recent amendment/addition/deletion of information.

Permanent. Records which must be kept indefinitely for legal and/or administrative purposes, and/or are of enduring value for historical research purposes and so suitable for transfer to the authority's archive or place of deposit.

Place of deposit. Usually the County Records Office.

Part 3 The Disposal Guidelines – Contents

Reference No.	5.1.1.1.1 Description
1.	DEMOCRATIC PROCESSES
	Elections
1.1-1.2	Preparations
1.3	Results
	Council and Committee Meetings
1.4-1.5	Preparation & Minute Taking
1.6-1.7	Partnership, Agency & External Meetings
1.8	Honours Submissions
1.9	Political Parties Papers
2.	MANAGEMENT AND ADMINISTRATION
2.1-2.4	Corporate Planning and Reporting
2.5	Statutory Returns
2.6-2.7	Policy, Procedures, Strategy and Structure
2.8-2.9	Public Consultation
2.10-2.12	Information Management
2.13-2.16	Enquiries and Complaints
2.17-2.18	Quality and Performance Management
2.19-2.20	Public Relations Publications
2.21-2.22	5.1.1.1.1.1 Media Relations
2.23	5.1.1.1.1.2 Marketing
2.24-2.25	Civic and Royal Events
3.	CLIENT SERVICES
	Case Management
3.1-3.3	Housing Provision
4.	LEGAL AND CONTRACTS
4.1	5.1.2 Litigation
4.2	Advice
4.3	Agreements
4.4	Conveyance
	5.1.2.1.1.1 Contracts and Tendering
4.5	Pre Contract Advice
4.6	Specification and Contract Development

4.7	Tender Issuing and Return
4.8-4.10	Evaluation of Tender
4.11	Post Tender Negotiation
4.12	Awarding of Contract
4.13-4.14	Contract Management
4.15	Tenancy Agreements
5.	HUMAN RESOURCES
5.1-5.4	Personnel Administration
5.5-5.8	Employee and Industrial Relations:
5.9	Equal Employment Opportunities
5.10	Recruitment
5.11-5.12	Staff Monitoring
5.13-5.14	Staff Retention
5.15	Termination
5.16-5.18	Training and Development
5.19-5.22	Appointment of Statutory Officers
6.	FINANCIAL MANAGEMENT
	Accounts and Audit
6.1-6.2	Reporting
6.3-6.8	Financial Transactions Management
6.9-6.10	Payroll
	Financial provisions
6.11-6.13	Budgets and Estimates
6.14-6.15	Loans
6.16-6.19	<i>5.1.3 Housing</i>
6.20	Council Tax Valuation
6.21	Property History
6.22	Rates and Local Authorities Tax Correspondence
6.23-6.24	Summary Assets Management
6.25-6.28	Asset Monitoring and Maintenance
6.29	Asset Acquisition and Disposal
7.	PROPERTY AND LAND MANAGEMENT
7.1	Property and Land Management
7.2-7.3	Property Acquisition and Disposal
7.4-7.7	Property Development and Renovation
7.8-7.9	5.1.3.1.1.1 Leasing and Occupancy
7.10	Housing Provision
7.11-7.13	Systems Management
7.14-7.17	Transport Management

	5.1.3.1.1.2 Insurance
7.18-7.20 7.21	Policy Management Claims Management
8.	GENERAL PUBLIC SERVICES
	Health and Safety
8.1-8.9	Inspections and Assessments
8.10-8.11	Emergency Planning
8.12-8.13	Major Incident
	Enforcement Certification and Prosecution
8.14-8.16 8.17 8.18 8.19	Registration, Certification and Licensing Notification Investigation Inspection and Monitoring Prosecution
	Bye-laws
8.20 8.21	Enactment Administration and Enforcement
8.22-8.23	Cemeteries and Crematoria
	Waste Management
8.24-8.26	Collection
9.	PLANNING AND LAND USE
9.1-9.5 9.6-9.11	Planning Scheme Development and Amendment Planning Scheme Regulation
10.	INFRASTRUCTURE AND TRANSPORT
10.1-10.3	Planning and Development
10.4	Infrastructure Management and Maintenance
10.5	Public Transport

Democratic Processes

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	Elections			
	5.1.3.1.1.3 Preparation			
1.1	Summary certification of those eligible to vote	Permanent. Offer to Archivist after administrative use is concluded	Electoral Register	Common practice
1.2	Voting (Local elections only)	Destroy 6 months from close of poll	Ballot papers	Statutory
	Results			
1.3	Declaration of results (local elections only)	Destroy 6 months from date of election	Consolidated returns of votes received	Statutory
	Council and Committee Meetings			
1.4	The process of preparing business for Council consideration and making the record of discussion, debate and resolutions	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	Minutes Agenda and business papers Council Notice papers and proceedings Indexes Committee minutes Registers of delegations to Special Committees	Common practice
1.5	Minute taking	Destroy after date of confirmation of minutes	Draft/rough minutes Audio tapes	Common practice
	Partnership, Agency and External Meetings			

1.6	The process of preparing business for partnership and agencies consideration and making the record of discussion, debate and resolutions, where the Council legally owns the record.	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	Documents establishing committees, Agendas Minutes Council reports Recommendations Supporting documents such as Council briefing and discussion papers	Common practice
1.7	The process of preparing business for external committees' consideration and making the record of discussion, debate and resolutions, where the Council does not own the record.	Destroy 3 years after last action	Documents establishing the committee Reports Recommendations Supporting documents such as briefing and discussion papers.	Common practice
	Honours and Submissions			
1.8	The process of preparing of honours submission	Destroy 5 years after last action	Honours nomination form Covering documentation Letters of support Referral for comment from lord lieutenant	Common practice
	POLITICAL PARTIES PAPERS			
1.9	Process of undertaking	Destroy 3 years after last action	Leader of opposition	Common practice

	representation of the Council - Council representatives		Papers Leader of council papers	
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5.1.3.2

5.1.3.3 Management and Administration

Ref No.	Function Description	Retention Action	Examples of Records	Notes
	CORPORATE PLANNING AND REPORTING			
2.1	The corporate planning and reporting activities of local authorities	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	Corporate Plans Strategy Plans Business Plans Annual Reports	Common practice
2.2	The process of preparing business for strategic consideration and making the record of discussion, debate and resolutions	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	Strategic management team minutes	Common practice
2.3	The process of preparing business for cross departmental consideration and making the record of discussion, debate and resolutions	Destroy 3 years from closure		Common practice
2.4	The process of preparing business for Unit/Team consideration and	Destroy 3 years from closure		Common practice

	making the record of discussion, debate and resolutions			
	Statutory returns			
2.5	The process of preparing information to be passed on to central government as part of statutory requirements	Destroy 7 years from closure	Reports to central government	Common practice
	Policy, Procedures, Strategy and Structure			
2.6	Activities that develop policies, procedures, strategies and structures for the local authorities	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded.	Policy, procedure, precedent, instructions Organisation charts Records relating to policy implementation Asset management plan Community strategy Community plan Community safety plan	Common practice
2.7	The process of monitoring and reviewing strategic plans, policies or procedure to assess their compliance with guidelines	Destroy 5 years from closure		Common practice
	Public Consultation			
2.8	The process of consulting the public and staff in the development of significant policies of the Council	Destroy 5 years from closure		Common practice
2.9	The process of consulting the public and staff in the development of minor policies of the Council	Destroy 1 years from closure		Common practice

Information Management				
2.10	The activity whereby standards, authorities, restraints and verifications are introduced and maintained to manage information effectively	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded	Classification schemes Registers Indexes Authorised lists of file headings	Common practice
2.11	The management of collections of records transferred to the archives	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	Accession registers Depositor files	Common practice
2.12	The process that records the disposal of records	Destroy 12 years after last action	Disposal certificates Common practice based on Limitation Act	Common practice
Enquiries and Complaints				
2.13	The management in summary form of enquiries and complaints directed to council	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded.	Indexes Registers	Common practice
2.14	Management of enquiries, submissions and complaints which result in significant changes to policy or procedures	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	Reports Returns Correspondence	Common practice
2.15	Management of detailed responses on Council actions, policy or	Destroy 6 years after administrative use is concluded	Reports Returns	Common practice

	procedures		Correspondence Ombudsman	
2.16	Management of routine responses on Council actions, policy or procedures	Destroy 2 years after administrative use is concluded	Printed material Form letters	Common practice
	Quality and performance management			
2.17	The process of monitoring or reviewing the quality, efficiency, or performance of a local authority service or unit	Destroy 5 years from closure	Best Value Review	Common practice
2.18	The process of assessing the quality, efficiency, or performance of a local authority service or unit	Destroy 2 years from closure	Assessment form	Common practice
	Public relations Publications			
2.19	The process of designing setting information for publication	Destroy 3 years from last action		Common practice
2.20	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.		Common practice
	Media Relations			
2.21	Process of interaction with the media	Destroy 3 years from closure		Common practice
2.22	Media publications concerning local authorities	Permanent. Offer to Archivist. Transfer to place of deposit after	Press cuttings Media reports	Common practice

		administrative use is concluded		
	Marketing			
2.23	The process of developing and promotion of local authorities campaigns and events	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded		Common practice
	Civic and Royal Events			
2.24	The recording of ceremonial events and civic occasions	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	Visitors' book Audio tapes Video tapes Photographs	Common practice
2.25	The process of organising a ceremonial event or civic occasions	Destroy 7 years after administrative use is concluded		Common practice

5.1.3.4 Client Services

Ref No	Function Description	Retention Action	Examples of Records	Notes
	Case Management			
	Housing Provision The process of allocation and management of housing by the local authority and the associated issues of homelessness			
3.1	Registration of individuals housing applications	Permanent. Offer to Archivist.	Council housing register	Common practice
3.2	The process for applying for council housing (unsuccessful applications only, successful applications will generally be placed on the tenancy file)	Destroy 7 years after closure	Council housing application forms and supporting material Application for transfer of tenancy and supporting papers	Common practice
3.3	The process for managing the tenancy of an individual tenant	Destroy 12 years after termination of tenancy	Correspondence re tenancy Tenancy files Council housing application forms and supporting material Application for transfer of tenancy and supporting papers Application for emergency housing or referral from another agency	Common practice These may need to be kept for a longer period of time in order to prove that the tenant was actually housed properly by the authority

5.1.3.5

5.1.3.6 Legal and Contracts

Ref No.	Function Description	Retention Action	Examples of Records	Notes
	Litigation			
4.1	The process of managing, undertaking or defending for or against litigation on behalf of Council	Destroy 7 years after last action. Major litigation – offer to Archivist for review	Criminal case file Civil case file correspondence	Common practice
	5.1.3.6.1.1 Advice			
4.2	The process of providing legal advice on a point of law.	Destroy 3 years after last action – unless a major precedent, then offer to Archivist for review		Common practice
	5.1.3.6.1.2 Agreements			
4.3	Process of agreeing terms between organisations Note : this does not include contractual agreements	Destroy 6 years after agreement expires or is terminated	Concordat	Common practice Depends on value of agreement Mainly to do with agreements between public bodies, not in regard to contracts
	Conveyance (see also) Property Acquisition and Disposal			
4.4	The process of changing ownership of land or property	Destroy 12 years after closure	Conveyancing files	Statutory
	Contracts and Tendering			
	Pre Contract Advice			
4.5	The process of calling for	Destroy 2 years after contract	Expressions of Interest	Common practice

	expressions of interest	let or not proceeded with		
	Specification and Contract Development			
4.6	The process involved in the development and specification of a contract Ordinary Contracts	Destroy 6 years after the terms of contract have expired Contracts Under Seal Destroy 12 years after the terms of contract have expired	Tender specification Note: For project files containing drafts leading to a final version these records can be destroyed	Statutory
	Tender Issuing and Return			
4.7	The process involved in the issuing and return of a tender	Destroy 1 year after start of contract	Opening notice Tender envelope	Common practice
	Evaluation of Tender			
4.8		Ordinary Contracts Destroy 6 years after the terms of contract have expired Contracts Under Seal Destroy 12 years after the terms of contract have expired	Evaluation criteria	Statutory
4.9	Successful tender document	Ordinary Contracts Destroy 6 years after the terms of contract have expired • Contracts Under Seal Destroy 12 years after the terms of contract have expired	Tender documents Quotations	Statutory
4.10	Unsuccessful tender documents	Destroy 1 year after start of contract	Tender documents Quotations	Common practice
	Post Tender Negotiation			
4.11	The process in negotiation of a	Destroy 1 year after the terms	Clarification of contract	Common practice

	contract after a preferred tender is selected	of contract have expired	Post tender negotiation minutes	
	Awarding of contract			
4.12	The process awarding of contract	Ordinary Contracts Destroy 6 years after the terms of contract have expired Contracts Under Seal Destroy 12 years after the terms of contract have expired	Signed contract	Statutory
	Contract Management			
4.13	Contract operation and monitoring	Destroy 2 years after the terms of contract have expired	Service Level Agreements Compliance reports Performance reports	Common practice
4.14	Management and amendment of contract	(a) Ordinary Contracts Destroy 6 years after the terms of contract have expired (b) Contracts Under Seal Destroy 12 years after the terms of contract have expired	Minutes and papers of meetings Changes to requirements Variation forms Extension of contract Complaints Disputes on payment	Statutory
	Tenancy Agreements			
4.15	The process of awarding tenancies in welfare housing	a) Ordinary Tenancy Destroy 6 years after the terms of agreement have expired b) Tenancy Under Seal Destroy 12 years after the terms of	Signed tenancy agreements Sealed tenancy agreements	Statutory

		agreement have expired	
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5.1.3.7

5.1.3.8 Human Resources

Ref No.	Function Description	Retention Action	Examples of Records	Notes
	Personnel administration			
5.1	Summary management systems that allow monitoring & management of employees in summary form Note: The summary information that this record class attempts to capture is:- Name, DOB, date of appointment, work history details, position / designation, titles & dates held	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded	Employment Register – Permanent Staff Temporary Staff Casual Staff Registers of personnel files Personal History cards Superannuation history card Salary master record	Common practice
5.2	The process of administering employees to ensure that entitlements & obligations are in accordance with agreed employment requirements • Records containing superannuation information	Destroy 6 years from date of last pension payment	Medical clearance Letter of appointment Letter of acceptance Details of assigned duties Probation reports Medical examinations Personal particulars	Common practice

			Educational qualifications Declarations of interests Secrecy undertakings Employment contracts	
5.3	Records relating to staff working with children	Termination + 25 years.		
5.4	All other records	Termination + 6 years		
	Employee and Industrial Relations			
5.5	Identification & development of significant directions concerning industrial matters	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded	Generic agreements and awards Negotiations Disputes Claims lodged	Common practice
5.6	Liaison processes of minor and routine industrial matters	Destroy 2 years after administrative use is concluded	Daily industrial relations management	Common practice
5.7	Processing of disciplinary and grievance investigations where proved	Oral Warning: 6 months Written Warning: 1 year Final Warning: 18 months The above warnings to be removed & destroyed after the relevant time has 'spent'.	Disciplinary	For all practical purposes this function would not be subject to records management, except for Warnings involving children,

		Warnings involving children placed on personal file permanently		which remain on the personal file permanently for reference purposes.
5.8	Processing of disciplinary and grievances investigations where unfounded	Destroy immediately after the matter is proved to be unfounded; or after appeal	Disciplinary	Common practice
	Equal Employment Opportunities			
5.9	The process of investigation and reporting on specific cases to ensure that entitlements & obligations are in accordance with agreed Equal Employment Opportunities guidelines policies	Destroy 5 years after action completed		Common practice
	Recruitment			
5.10	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)	Advertisements Applications Referee reports Interview reports Unsuccessful applicants	Common practice
	Staff Monitoring			
5.11	Performance	Destroy 5 years after action completed	Probation reports Performance plans	Common practice

5.12	Process of monitoring staff leave and attendance	Destroy 2 years after action completed	Sick leave Jury service Study leave Special and personal Leave Attendance books Flexitime sheets Leave applications Clock on/ off cards Annual leave	Common practice
	Staff Retention			
5.13	Financial reward	Destroy 7 years after action completed		Common practice All records relating to actual payments are dealt with under finance
5.14	Other strategy	Destroy 3 years after action completed		Common practice
	Termination			
5.15	The process of termination of staff through voluntary redundancy, dismissal and retirement	Destroy 6 years after termination. If a pension is paid then records should be destroyed 6 years after last payment of pension	Resignation Redundancy Dismissal Death Retirement	Common practice
	Training and Development			
5.16	Routine staff training processes	Destroy 2 years after action completed	Course individual staff assessment	Common practice
5.17	Training (materials)	Destroy 1 year after course is superseded		Common practice
5.18	Training (proof of completion)	Destroy 7 years after action	Certificates	Common practice

		completed	Awards Exam results	
	Appointments of Statutory Officers			
5.19	Summary management systems that allow the monitoring & management of statutory officers in summary form	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded		Common practice
5.20	The process of administering employees to ensure that entitlements & obligations are in accordance with agreed employment requirements	Destroy 6 years after departure from employment		Common practice
5.21	The appointment of an individual for a statutory position	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	Appointment Files - Shrievalty Magistrates Lord Lieutenant Tax Commissioners	Common practice
5.22	The process of selection of an individual for an statutory position	Destroy 2 years after date of appointment	Vacancies & applications records Interview notes Prospective staff records Registers of applicants Unsuccessful applications records	Common practice

5.1.3.8.1 Financial Management

Ref No.	Function Description	Retention Action	Examples of Records	Notes
	Accounts & Audit Reporting			
6.1	The process that consolidates financial transactions on an annual basis for corporate reporting purposes	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	Consolidated annual Reports Consolidated financial Statements Statement of financial Position Operating statements General ledger	Common practice
6.2	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	Consolidated monthly & quarterly reports Consolidated monthly & quarterly financial statements Working papers for the preparation of the above Monthly accrual statements Cashflow statements Creditor listings and reports	Common practice

			Debtor listings and reports	
	Financial Transaction Management			
6.3	Management of the approvals process for purchase, including investigations	Destroy 7 years after end of the financial year in which the records were created	Appointments & delegations Audit investigations Arrangements for the provision of goods and/or services	Statutory
6.4	Identification of the receipt, expenditure and write-offs of public monies	Destroy 6 years after conclusion of the financial transaction that the record supports	Allowances Work orders Invoices Credit card statements Cash books Receipts Cheque counterfoils Bank statements Subsidiary ledgers (annual) Journals (annual) Vouchers	Statutory This period may be reduced with the agreement of Customs and Excise and/ or the Inland Revenue
6.5	Process involving the provision and support for individuals using public transportation	Destroy 6 years after conclusion of the financial transaction that record supports	Applications Card issue Rail warrants	Statutory
6.6	Processes that balance & reconcile	Destroy 2 years after	Reconciliation	Common

	financial accounts	administrative use is concluded	Summaries of accounts	practice
6.7	Taxation Records	Destroy 5 years after the end of the financial year in which the records were created	Taxation records Motor vehicle logs. Fringe benefits tax Records. Group certificates	Statutory
6.8	Processes involved in the collection of National Insurance Number	Destroy 2 years after the employee ceases employment	Notification & Input records	Common practice
	Payroll			
6.9	Accountable processes relating to payment of employees	Destroy 7 years after conclusion of the financial transaction that the record supports	Authority sheets Payroll deduction authorities Payroll disbursement Employee pay records Employee taxation records	Statutory
6.10	Non- accountable processes relating to payment of employees	Destroy after administrative use is concluded	Summary employee pay reports	Common practice
	Financial Provisions			
	Budgets And Estimates			
6.11	The process of finalising local authorities' annual budget	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	Annual budget	Common practice Only the final version of the annual budget needs to be kept
6.12	The process of developing local authorities' annual budget	Destroy 2 years after annual budget adopted by local	Draft budgets Departmental budgets	Common practice

		authorities	Draft estimates	
6.13	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	Quarterly statements	Common practice
	Loans			
6.14	The activity of borrowing money to enable a local authority to perform its functions and exercise its powers	Destroy 7 years after the loan has been repaid	Loan files	Statutory
6.15	Summary management of loans	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	Loans registers	Common practice
	Housing The process of offering financial help with welfare housing provision and maintenance			
6.16	Mortgages	Last payment + 6 years if signed Last payment +12 years if sealed	Mortgage agreements Correspondence	
6.17	"Right to Buy"	Destroy 12 years after sale of house	Sale documents Agreement concerning sale	Common Practice
6.18	Rent Payments	Destroy 7 years after the end of the financial year in which created	Rent books Correspondence concerning payment Requests for payment	Statutory
6.19	Home Improvement Grants	Destroy 6 years after last	Agreement to pay loan	Statutory

		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.	Details of payments Correspondence relating to loan	
	Council Tax Valuation			
6.20	The valuation of rateable land within a municipal district for the purpose of the making of the rate	Valuation lists - Permanent. Offer to Archivist for review Destroy 10 years after the year in which the valuation was made	Valuation lists Correspondence Objections Reports	Common practice
	Property History			
6.21	The recording of information for rateable properties identifying the person or company rated, including details of the value of the property. Note: Records containing accounting information primarily, and not being a source of property history, should be disposed of according to appropriate record class within the Accounts & Audit function.	Permanent. Offer to Archivist for review. Transfer to Place of Deposit after administrative use is concluded	Rate Books Rate Cards Register of Rateable Properties	Common practice
	Rates and Local Authorities Tax Correspondence			
6.22	The activity of corresponding with ratepayers in relation to valuations, rates and charges, objections,	Destroy 7 years after last action	Notices Objections Applications	Common practice

	submissions, appeals, rate remissions and other rates related matters		Correspondence Rate certificates Notices of acquisition and disposition Rate property files	
	Summary Assets Management			
6.23	See Property Management for real property assets. See Transport Management for vehicle assets.			
6.24	Summary management reporting on the overall assets of the local authorities	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	Schedules of acquisitions Consolidated current asset reports Annual reports Summary of current asset Asset registers	Common practice
	Asset Monitoring and Maintenance			
6.25	Management systems that allow the monitoring & management of assets in summary form	Destroy 7 years after conclusion of the financial transaction that the record supports	Subsidiary asset registers	Common practice
6.26	Process of reporting and reviewing assets status	Destroy 2 years after administrative use is concluded	Routine returns and reports on asset status Inventories Stocktaking Surveys of usage Acquisition and disposal reports &	Common practice

			proposals	
6.27	The process of maintaining assets	Destroy 7 years after last action	Garden maintenance Cleaning Painting	Common practice
6.28	The process of maintaining plant and equipment	Destroy 7 years after sale or disposal of asset	Service records Plant files	Common practice
	Asset Acquisition and Disposal			
6.29	Management of the acquisition (by financial lease or purchase) and disposal (by sale or write off) process for assets	Destroy 6 years, if under £50,000 or 12 years if over £50,000, after all obligations/ entitlements are concluded	Legal documents relating to the purchase/ sale Particulars of sale documents Board of survey Leases Applications for leases, licences & rental revision Tender documents Conditions of contracts Certificates of approval	Statutory

5.1.3.9 Property and Land Management

Ref No	Function Description	Retention Action	Examples of Records	Notes
	Property and Land Management			
7.1	Reports to management on overall property of the local authority	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	Consolidated property & buildings annual reports Summary of leased property Summary of Council owned property Site register Register of leases	Common practice
	Property Acquisition and Disposal [see also) Conveyance]			
7.2	Management of the acquisition (by financial lease or purchase) process for real property	Retain for life of property or building plus 12 years. Offer material re major / significant properties to Archivist for review	Plans	Common practice
7.3	Management of the disposal (by sale or write off) process for real property	Destroy 15 years after all obligations/entitlements are concluded. Offer material re major/significant properties to Archivist for review	Legal documents relating to sale Particulars of sale documents Board of Survey Tender documents Conditions of contracts	Common practice
	Property Development and Renovation			

7.4	The process of managing and undertaking renovations and development of property			Common practice
7.5	Management - buildings and estates of "special interest"	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	Project specifications Plans Installation manuals Certificates of approval	Common practice
7.6	Management - all other buildings and estates	Retain for life of property or building	Project specifications Plans Installation manuals Certificates of approval	Common practice For asbestos see health and safety under General Public Services
7.7	The action process involved in development and renovation of property	Destroy 7 years after conclusion of transaction the record supports	Work orders Tender documents Conditions of contracts	Common practice
	Leasing And Occupancy			
7.8	The process of managing leased property	Destroy 15 years after the expiry of the lease	Lease agreements Rental expenditure authorities Valuation queries Applications for leases, licences & rental revision	Common practice
7.9	The process of managing the occupancy of property	Destroy 7 years after the conclusion of transaction the record supports	Requests for works, cleaning, etc.	Common practice
	Housing Provision			
7.10	The process of managing local authority housing estates	Destroy 4 years after last action	Stock monitoring records	Common practice
	Systems Management			

7.11	The internal process to develop or extend the capabilities of a system used to support the activities of the Council	Retain for life of system then destroy		
7.12	The process to implement a system used to support the activities of the Council	Destroy 7 years after last action	Implementation plan	
7.13	The process to support and administer a system used to support the activities of the Council	Destroy 5 years after last action		
	Transport Management			
7.14	The process of acquisition and disposal of vehicles through lease or purchase	Destroy 7 years after the disposal of the vehicle	Leases Contracts Quotes Approvals	
7.15	The process of managing allocation & maintenance of vehicles	Destroy 7 years after the sale or disposal of the vehicle	Approvals as drivers Allocations & authorisations for vehicles Maintenance	
7.16	The process of recording vehicle usage	Destroy 3 years after the sale or disposal of the vehicle	Vehicle usage reports	
7.17	The process of recording drivers usage	Destroy 7 years after closure	Vehicle log book	
	Insurance			
	Policy Management			
7.18	The summary management of insurance arrangements	Permanent. Offer to Archivist.	Insurance register	

		Transfer to place of deposit after administrative use is concluded.		
7.19	The process of insuring local authority officers, property, vehicles and equipment against negligence, loss or damage	Destroy 7 years after the terms of the policy have expired	Insurance policies Correspondence	
7.20	The process of renewing insurance policies	Destroy 5 years after the insurance policy has been renewed	Insurance policy Renewal records Correspondence	
	Claims Management			
7.21	The process that records insurance claims against the local authority or local authority officers	Destroy 7 years after all obligations/ entitlements are concluded (allowing for the claimant to reach 25 years of age)	Claims records Correspondence	

5.1.3.10 General Public Services

Ref No.	Function Description	Retention Action	Examples of Records	Notes
	Health and Safety			
	Inspections and Assessments			
8.1	Process of inspecting equipment to ensure it is safe	Destroy 6 Years from destruction of the equipment	Equipment inspection records	Statutory
8.2	Process of carrying out monitoring to ensure that the process is safe	Destroy 3 Years from last action	Monitoring results	Statutory
8.3	Process of monitoring of areas where employees and persons are	Destroy 40 Years from last action	Property asbestos files	Common practice based

	likely to have become in contact with asbestos			on Statutory
8.4	Process of monitoring of areas where employees and persons are likely to have come in contact with radiation	Destroy 50 Years from last action or at age 75 Years whichever is the greater	Radon monitoring	
8.5	Process to ensure safe systems of work	Retain until superseded or process ceases + 1 year		Common practice
8.6	Process to asses the level of risk	Destroy 3 Years from last assessment	Risk assessment	Statutory
8.7	Processes that permit work	Destroy 1 Year from last action		Common practice
8.8	Process that records injuries to adults	Destroy 3 Years from closure	Accident books	Statutory
8.9	Process that records injuries to children	Destroy 25 Years from closure	Accident books	Based on Statutory
	Emergency Planning			
8.10	Process to develop the emergency/ disaster plan for the local community	Permanent. Offer to Archivist for review. Transfer to place of deposit after superseded	Major Incident Plan	
8.11	Process of recording the results of the test for emergency/ disaster plan for the local community	Destroy 10 years after closure		
	Major Incident			
8.12	Activities that report on all major incidents in the local community, whether the emergency plan has been invoked or not	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded		

8.13	Activities that report on all minor incidents in the local community	Destroy 7 years after closure		
	Enforcement Certification and Prosecution			
	Registration Certification and Licensing			
8.14	Summary management systems that allow the monitoring & management of registration, certification and licences registration requirements in summary form	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded	Visual impairment register	Common practice
8.15	Administration of applications, registration, certification and licences in relation to local authorities' registration requirements	Destroy 2 years after registration or entitlement lapses	Applications for animal registration Applications for registration of a business premises Applications for release of animals impounded Registers Certificates of Registration of: door supervisors Taxi drivers Beauty therapists Animal movement Licences Gaming	Statutory Note: may want archival review in cases of licensing of children in entertainment

			Fire certification Disabled Parking Permits Blue badge Registration to sell Poison	
8.16	The process involved in licensing sites for the holding or use of toxic or hazardous substances. (including petroleum, agricultural chemical products or herbicides)	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded 60 years after registration or entitlement lapses	Diesel licences Petroleum licences Health and safety Licensing Hazardous substances Contaminated land register/pollution	Common practice
	Notification			
8.17	The process of issuing notices to citizens with respect to particular responsibilities	Destroy 2 years after the matter is concluded	Fire Prevention notices, Fire Prevention Infringement notices Objections to notices Appeals against notices Registration of premises Infringement notices Animal Impounding notices	Common practice
	Investigation, Inspection and Monitoring			
8.18	The process of investigation,	Destroy 7 years from last action	Trading standards	Common

	monitoring or inspection laws in the responsibility of the local authority		sample and inspections records, Fire certificate compliance inspections	practice
	Prosecution			
8.19	The process of prosecution or sanction of an individual or organisation for failing to comply with their legal responsibilities	Destroy 7 years from last action.	Prosecution/sanction files	Common practice
	Bye- Laws			
	Enactment			
8.20	The process of making local laws	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded	Master Set of bye-laws Policy Development documents Correspondence Submissions	Common practice
	Administration & Enforcement			
8.21	The process of administering and enforcing bye-laws	Destroy 2 years after certificate has expired or penalty payment has been made or the matter has been finished or correspondence on the matter has ceased	Applications and certificates Permits Licences Infringement notices (Parking) Correspondence	Common practice
	Cemeteries & Crematoria			
8.22	Summary management systems that record the location of burials and identity of deceased individuals	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	Register of interments Cemetery register Cemetery plans	Common practice

8.23	The process of regulation of burials and cremations	Destroy 5 year after last action	Permits Applications Orders	Common practice
	<u>Waste Management</u> The provision of hard waste removal, destruction and waste reduction services by the local authority to ratepayers			Common practice
	<u>Collection / Storage</u>			
8.24	The process of arranging collection or transportation of household waste	Destroy 2 year after last action		Common practice
8.25	The process of arranging collection or transportation of controlled waste	Destroy 6 year after last action		Common practice
8.26	The process of the short-term storage of household waste	Destroy 10 year after site closure	Transfer sites	Common practice

5.1.3.11 Planning and Land Use

Ref No.	Function Description	Retention Action	Examples of Records	Notes
	<u>Planning Scheme Development and Amendment</u>			
9.1	The activity of developing a vision and strategic directions regarding existing and future land use within the Local Authority and development	Permanent. Offer to Archivist when plan superseded	Local Plan Town Centre plans	Common practice

	of local and town centre plans			
9.2	The activity of consultation to gain approval for the Local Plan	Permanent. Offer to Archivist for review after 3 years	Consultation documents and replies Inquiries and objections made by members of public Public Inquiry documents	Common practice
9.3	The activity of recording information on historical buildings, monuments and ecology at a specific site	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded	Sites and Monuments records Ecological records Species records Historically listed buildings Definitive map Commons registration	Common practice
9.3	The activity of establishing planning scheme controls and providing for them to be amended	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	Land Use surveys	Common practice
9.4	The process of controlling development of areas through applications for planning permission	Transfer planning application register to Archivist once the register has been completed (or at arranged intervals if it is held electronically) Refer all other records to Archivist for sampling	Planning application files and plans Correspondence relating to any objections Hearing papers Planning application register	Common practice

9.5	The process of maintaining the countryside and developing open spaces for public amenity	Refer all files relating to policy to the Archivist Destroy other files 7 years after administrative use concluded	Tree preservation orders Country parks and nature reserves development plans and correspondence. Land purchase agreements	Common practice
	Planning Scheme Regulation			
9.6	The summary management of planning scheme regulation	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	Building Control registers	Common practice
9.7	The process of regulating the planned use of land or buildings	Destroy 15 years after closure		Common practice
9.8	The process of approving building applications in relation to listed or other significant buildings	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded	Building files Plans Specifications Correspondence Applications Permits Certificates	Common practice
9.9	The process of approving building applications, for all other buildings	Destroy 15 years after construction completed	Building files Plans Specifications Correspondence Applications Permits / Certificates Objections	Common practice

9.10	The process of inspecting building work for the purpose of insuring compliance.	Destroy 10 years after the issue of a certificate of final inspection	Certificate of final inspection Building Inspection records Diaries	Common practice
9.11	The process of enforcing building or land regulations	Destroy 3 years after compliance with enforcement notice		Common practice

Infrastructure and Transport

Ref No.	Function Description	Retention Action	Examples of Records	Notes
	Planning and Development			
10.1	The activity of developing a vision and strategic directions regarding existing transport and infrastructure within the municipality	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	Local transport plan	Common practice
10.2	The activity of recording location of highways, bridle paths and rights of way	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded	Definitive map Correspondence concerning enquiries and disputes	Common practice
10.3	The process of receiving, considering and responding to submissions and objections to planning schemes and amendments	Destroy 7 years after decision. Offer controversial/high profile schemes to Archivist	Enquiries, consultation documents, objections and correspondence	Common practice
	Infrastructure Management and Maintenance			
10.4	The activity of providing municipal services in relation to infrastructure within the local authority	Destroy 7 years after last action	Street files Street records Requests for: Hedge clipping Tree planting Naming of streets Numbering of houses Street signs Bus shelters Advice /comment Right of ways	Common practice

			Roundabouts Traffic calming measures Street lighting	
	Public Transport			
10.5	The activities involved in management and provision of public transport	Destroy 3 years after superseded or last action.	Timetables and Maps Fares Customer and industry liaison	