

# Records Retention Schedule

## Document Control

<b>Title</b>	Records Retention Schedule
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<b>Owner</b>	Law and Governance Team
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<b>Created</b>	Elizabeth Godin, Information Governance Manager
<b>Approved by</b>	Susan Sale, Head of Law and Governance
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## Revision History

Version	Date	Author	Description of Change
0.1	1/2/2019	Elizabeth Godin, Information Governance Manager	Author
		Susan Sale , Head of Law and Governance	Approval

Records Retention Schedule

	22/07/2021	Corporate Management Team	Approval
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## 1. Introduction

- 1.1 Oxford City Council is required to produce a Records Retention Schedule in line with the Lord Chancellor's *Code of Practice on the Management of Records* issued under Section 46 of the Freedom of Information Act 2000. This document sets out details about all the records created and kept by us in such a way that decisions can be made about identifying and disposing of them on a routine and timely basis.

## 2. Scope

- 2.1 This Records Retention Schedule applies to all documents defined as records - 'Information created, received and maintained as evidence and information by an organisation or individual, in pursuance of legal obligations or in the transaction of business' i.e. evidence of Oxford City Council's actions, transactions, decisions and agreements.
- 2.2 The retention requirements listed in this document apply to all records irrespective of media and format, or the system(s) in which the records are held, and should be applied to all copies including backups. Most other information need only be kept for as long as the information is necessary and is being used for business or audit purposes only.
- 2.3 Divergence from the retention schedule may be appropriate in certain circumstances. For example, a pending or actual legal action, change of legislation or regulation, or legitimate business need. Any divergence requires liaison with the Information Governance Manager and the Information Asset Owner.

### 3. Responsibilities

#### 3.1 Heads of Service/Managers are responsible for:

- Ensuring local procedures are implemented to comply with the Council's Records Management Policy and supporting guidance;
- Ensuring staff understand their record keeping responsibilities and have adequate time to properly undertake these activities and attend corporate/service awareness training sessions;
- Ensuring recordkeeping systems enable identification of records due for disposal
- Ensuring records due for disposal are routinely identified and reviewed to ensure they are no longer required;
- Contributing to and enforcing compliance with business retention and disposal requirements set out in the appropriate retention and disposal schedules;
- Identifying vital business records and records suitable for historical permanent preservation;
- Identifying whether semi active physical records are to be retained or scanned and destroyed;
- Ensuring that appropriate access restrictions and password protections are used for human resources and other confidential information stored on shared drives;
- Highlighting any concerns in terms of records and information management with the Corporate Governance Manager in the Law and Governance Service.

#### 3.2 All staff are responsible for:

- Managing the information they create and use on a day to day basis;
- Retaining all records in line with identified business requirements and as outlined in the Appropriate retention and disposal schedule;
- Ensuring records are saved and filed in such a way that it is meaningful and facilitates retrieval by those with similar access privileges;
- Disposing of records in accordance with the requirements of the Records Retention Schedule and Records Management Guidance;
- Bringing any issues in relation to information and records management to the attention of their managers allowing, if necessary, for these to be raised with the Corporate Governance Manager based within the Law and Governance Service as soon as possible.

## 4. Legal Requirements

- 4.1 Each entry in the retention and disposal schedule details the specific legislation, regulations, guidelines or codes of practice that stipulate or recommend how long records must be kept before they are disposed of. Where no such legislation or guidance exists, retention periods are based on common best practices.
- 4.2 The General Data Protection Regulation 2016 (GDPR)/Data Protection Act 2018  
Requires that we must not keep personal data for longer than needed for the purpose for which it was collected.
- 4.3 The Freedom of Information Act 2000  
The Act requires us to make information available to the public unless specific exemption(s) apply. [The Code of Practice issued under section 46 of the Act](#) sets out rules on how we should manage records and information, including responsibilities on all staff to implement records retention and disposal schedules.
- 4.4 The Local Government Act 2000  
Section 22 of the Act requires that written records of a local authority executive, or a committee of such an executive are be made available to the public.

## 5. Records Retention and Disposal Policies

- 5.1 Policies contained within this schedule give details of records retention periods, criteria triggering the start of the retention period or disposal action, disposal action and the authority, for example, legislation, regulation, codes of practice or guidance requiring or forming the basis for keeping records. Divergence from the retention and disposal schedule may be appropriate in certain circumstances. For example, a pending or actual legal action, investigation or inquiry, change of legislation or regulations, or to support legitimate business need.
  
- 5.2 Any divergence from policies contained in this schedule requires liaison with the Information Governance Manager and the Information Asset Owner.

## Retention Schedule

Updated July 2021

Document Types/ Description	Retention Periods	Action	Rationale/Legislation
<b>BUILDING CONTROL</b>			
Full Plan Application	15 Years unless there is a relevant business need to keep which needs to be documented	Destroy.	Building Regulations
Building Notice Applications	15 Years unless there is a relevant business need to keep which needs to be documented	Destroy.	Building Regulations
Regularisation Applications	15 Years unless there is a relevant business need to keep which needs to be documented	Destroy	Building Regulations
Demolition Notices	15 Years unless there is a relevant business need to keep which needs to be documented	Destroy	Building Regulations
Contravenous Works	Indefinitely until the contravention has been resolved by either removing the unauthorised work or by submitting a Regularisation Application	Destroy once resolved	Building Regulations -.
Dangerous Structures	15 Years unless there is a relevant business need to keep which needs to be documented	Destroy	Building Regulations
Building Control Application Forms	Permanent	Keep	Building Regulations Record of Building Control Works on the Building Control Register
Initial Notice Forms	Permanent	Keep	Building Regulations Record of Building Control Works on the Building Control Register
Competent Persons Notifications	Permanent	Keep	Building Regulations Record of Building Control Works on the Building Control Register
Officers Emails	15 Years	Destroy	Building Regulations

Document Types/ Description	Retention Periods	Action	Rationale/Legislation
<b>CORPORATE COMMUNICATIONS</b>			
<b>Media</b>			
Press releases	Retain permanently	Retain	Business need
Press briefings	One year after creation	Destroy	In line with retention of emails policy
Interactions with the media	One year after creation	Destroy	In line with retention of emails policy
Journalist's information	Instant once requested	Destroy	GDPR
Press cuttings	Immediately after reading	Destroy	To comply with media licensing rules, which require that circulated press cuttings are not stored permanently
<b>Campaigns</b>			
Campaign material (i.e. posters, leaflets)	Three years from last action. Offer to archivist for review	Destroy	Common practice
Campaign planning	One year after creation	Destroy	In line with retention of emails policy
Campaign reports/analysis	One year after creation	Destroy	In line with retention of emails policy
<b>Your Oxford magazine</b>			
Copies of Your Oxford magazine	Three years from last action. Offer to archivist for review	Destroy	Common practice
Your Oxford planning	One year after creation	Destroy	In line with retention of emails policy
<b>Social media</b>			
Social media content	Retain permanently	Retain	Stored permanently on social media platforms
Social media planning	One year after creation	Destroy	In line with retention of emails policy
Social media reports/ analysis	One year after creation	Destroy	In line with retention of emails policy
<b>Email newsletter</b>			
Copies of newsletter	One year after creation	Destroy	In line with retention of emails policy
Mailing list (residents' email addresses)	Instant once requested	Destroy	GDPR
<b>Marketing material</b>			
Marketing material (i.e. posters, leaflets)	Three years from last action. Offer to archivist for review	Destroy	Common practice
Planning and designing material	One year after creation	Destroy	In line with retention of emails policy
<b>Films</b>			
Finished films	Retain permanently	Retain	Business need
Raw footage	Retain permanently	Retain	Business need
Planning for films	One year after creation	Destroy	In line with retention of emails policy
<b>Photographs</b>			
Photographs	Retain permanently	Retain	Business need
Photography planning	One year after creation	Destroy	In line with retention of emails policy
<b>Internal communications</b>			
Internal newsletters	One year after creation	Destroy	In line with retention of emails policy



Staff events and briefings	One year after creation	Destroy	In line with retention of emails policy
Internal comms planning	One year after creation	Destroy	In line with retention of emails policy
Internal comms reports/analysis	One year after creation	Destroy	In line with retention of emails policy

Document Types/ Description	Retention Periods	Action	Rationale/Legislation
<b>CORPORATE PLANNING &amp; REPORTING</b>			
Management and Administration			
Corporate Plans; Strategy Plans; Business Plans; Annual Reports; Chief Executive	Once Superseded retain for 6 Years or if document sealed retain for 12 years	Destroy	Sections 5 and 8 of the Limitation Act 1980 The current and previous council strategy and business plan is available online. Then kept once superseded for referral back.
Management Team; Minutes; Cross departmental documents; records of discussion, debate and resolutions	1 year from date of meeting	Destroy	ESD Local Government Record Retention
<b>Statutory Returns</b>			
Reports to Central Government	Current year plus 6 years	Destroy	HMRC Compliance Handbook Manual CH15400
<b>Policy, Procedures, Strategy and Structure</b>			
Policy, procedure, precedent, instructions, organisation charts, records relating to policy implementation and development, Asset Management Plan, Community strategy, Community plan, Community safety plan <b>Where these documents are also kept within different service areas of the Council. The retention stipulated here will apply.</b>	6 years from date of the meeting/ decision	Destroy	Local Authorities (Executive Arrangements)(Meeting and Access to Information)(England)2012
Documents; Notes produced in the process of monitoring and reviewing strategic plans, policies or procedure to assess their compliance with guidelines <b>Where these documents are also kept within different service areas of the Council. The retention stipulated here will apply.</b>	12 months from last Action	Destroy	Business Need – Only required whilst monitoring and reviewing is undertaken

Document Types/ Description	Retention Periods	Action	Rationale/Legislation
<b>ENVIRONMENTAL SUSTAINABILITY</b>			
City Council held mailing lists in relation to Partnerships, Agencies, Working Groups and other external committees	<b>Permanent</b> , though constantly updated, with requests for removal actioned instantly	Constantly Maintain	Privacy and Electronic Communications (EC Directive) Regulations

Document Types/ Description	Retention Periods	Action	Rationale/Legislation
<b>COMMUNITY SERVICES</b>			
<b>Community and Leisure Centres</b>			
Contact Details for Bookings at Community Centres and Gym Membership	7 years	Review	Industry Best Practice
Bank details for memberships and bookings	7 Years	Review	Industry Best Practice
Pre-Activity Readiness Questionnaires	7 Years	Review	Industry Best Practice
Customer Feedback	1 Year	Review	Industry Best Practice and for CSE assessment and continuous improvement
The activity of providing a grant award to another party <ul style="list-style-type: none"> <li>▪ Grants to local charities</li> </ul>	6 years at the end of current Financial Year	Review	Business Need
Clinically Extremely Vulnerable records	Instant once requested by NHS Digital	Destroy	Business Need to as part of the COVID pandemic response.
Ward Member Budgets	7 years at the end of the current Financial Year	Review	Business Need
Bank details for funding applications	7 years at the end of current Financial Year	Review	Business Need
Town Halls bookings and enquiries	7 years at the end of current Financial Year	Review	Business Need
Events & Filming applications	7 years at the end of current Financial Year	Review	Business Need
Volunteer records	7 years at the end of current Financial Year	Review	Business Need
Free Access to National Sports people (FANS)	Destroy 1 year after administration use has concluded	Destroy	Business Need
Free Swimming Lesson applications	Destroy 6 months after administrative use has concluded	Destroy	Business Need
Food Larder membership records	Destroy after 3 years	Destroy	Business Need
Activity forms and sessions	GO Active registration Cards - participant information is transferred to data capture system and stored for 3 years after which point it is deleted. Participant cards are destroyed as soon as the information has been transferred online.	Review	Business Need
Access to Leisure Scheme (homeless pathway leisure	3 Years	Destroy	Business Need

centre memberships)			
Funding Applied for	7 years at the end of current Financial Year	Review	Business Need
Public Consultation and Engagement	7 years at the end of current Financial Year	Review	Business Need
Oxford Town Hall Email Marketing Subscriptions	Customers subscribe to Mailchimp where data personal data is held indefinitely unless they opt out of receiving emails, upon which it is destroyed.	Destroy	Business Need
Contracts and Tendering	Please refer to the Procurement section		
Contract Management	Please refer to the Procurement section		
Corporate Planning and Reporting	Please refer to the Corporate planning & reporting section		
Policy, Procedures, Strategy & Reporting	Please refer to the Corporate planning & reporting section		
Employee Files and Personal Development Records	Please refer to the Human Resources section		
Disciplinary and Grievance, Examination and Testing, Accident and Ill Health	Please refer to the Human Resources section		
Job Descriptions and Terms & Conditions	Please refer to the Human Resources section		
Training Materials <ul style="list-style-type: none"> <li>▪ Training (proof of completion)</li> <li>▪ Certificates</li> <li>▪ Awards</li> <li>▪ Exam result</li> </ul>	Please refer to the Human Resources section		
Payroll	Please refer to the Human Resources section		
Staff Monitoring	Please refer to the Health & Safety section		
Health & Safety	Please refer to the Law and Governance section		
Law & Governance	Please refer to the Law and Governance section		
Partnership, Agency and External Meetings	Please refer to the Partnership, Agency and External Meetings section		
Information Management	Please refer to the Information Management section		

Civic & Royal Events	Please refer to the Civic & Royal Events section		
Enquiries and Complaints	Please refer to the Enquiries and Complaints section		
Publications	Please refer to the Public Relations section		
Media Relations	Please refer to the Public Relations section		
Marketing	Please refer to the Public Relations section		
Property	Please refer to the Property section		
Financial Management	Please refer to the Financial Management section		
Insurance	Please refer to the Insurance section		
Health and Safety	Please refer to the General Public Services section		
Anti-Social behaviour: - <ul style="list-style-type: none"> <li>• Case management Files of Anti-Social Behaviour and Environmental cases</li> <li>• Collection of data relating to Anti-Social Behaviour</li> <li>• Service requests</li> <li>• Fixed Penalty Notices</li> </ul>	Please refer to the Regulatory Services section		
Investigation, Inspection and monitoring	Please refer to the Regulatory Services section		
Administration & Enforcement: - The process of administering and enforcing bye-laws <ul style="list-style-type: none"> <li>• Applications and certificates</li> <li>• Permits</li> <li>• Licences</li> <li>• Infringement notices</li> <li>• Correspondence</li> </ul>	Please refer to the Regulatory Services section		

Document Types/ Description	Retention Periods	Action	Rationale/Legislation
<b>ELECTIONS</b>			
<b>Preparation</b>			
Register of Electors: Summary certification of those eligible to vote	<b>Permanent</b>		Representation of the People Regulations 1986 and Local Elections (Parishes and Communities) Rules 1986 RGLA1.1
Certification of those eligible to vote: Annual canvass forms, rolling registration forms, overseas electors and service voters	24 Hours after being scanned in Xpress	Destroy	ERO agreed timings
Absent voters: Postal voting, proxy voting and postal/proxy voting forms	At the date of the Application expiry (5 years from application date)	Destroy	Following <a href="#">EC guidance</a>
Voting (Local elections only): Ballot papers, corresponding number lists; ballot paper accounts, tendered votes lists, certificates as to employment, lists of votes marked by Presiding Officer	1 year from close of poll	Destroy	Rule 55(1) RPA 1983 RGLA 1.2
Voting (Parliamentary elections): Ballot papers, corresponding number lists, ballot paper accounts; tendered votes lists; certificates as to employment; lists of votes marked by Presiding Officer	2 years from close of poll	Destroy	Rule 55(1) RPA 1983
<b>Results</b>			
Declaration of results (local elections only): Consolidated returns of votes received	1 year from date of election	Destroy	RGLA1.3
<b>Election expenses</b>			
Returns & Declarations as to election expenses: Returns & Declarations as to election expenses by agents and candidates	after <b>2</b> years unless candidate or election agent request them back after this time	Destroy	Section 89 RPA 1983

Document Types/ Description	Retention Periods	Action	Rationale/Legislation
<b>LAW AND GOVERNANCE</b>			
Building Control – General Advice	6 Years after last Action	Destroy	Common Practice
Bye-Laws - General Advice	12 Years after last Action	Destroy	Statutory
Appeals against Inspectors decisions	6 Years after last Action	Destroy	Statutory/Common Practice
Arbitration	6 Years	Destroy	Common Practice
ASBO's (use even in injunction/possession involved)	6 Years	Destroy	Statutory/Common Practice
Claims against the Council	6 Years	Destroy	Statutory/Common Practice
Commercial Property Proceedings	12 Years	Destroy	Statutory/Common Practice
Debts if paid (return to instructing officer) <ul style="list-style-type: none"> <li>• Council Tax Arrears</li> <li>• Housing Benefit Overpayments</li> <li>• Rent Arrears</li> <li>• Other</li> </ul>	6 Years	Destroy	Common Practice/Limitation Act 1980
Disrepair claims	6 Years	Destroy	Statutory/Common Practice
Employment Tribunal Proceedings	6 Years	Destroy	Statutory/Common Practice
General Advice	6 Years	Destroy	Common Practice
Homelessness Appeals	6 Years	Destroy	Statutory/Common Practice
Injunctions (use even if possession involved)	6 Years	Destroy	Statutory/Common Practice
Judicial Review	6 Years	Destroy	Statutory/Common Practice
Licensing Act 2003 Appeals	6 Years	Destroy	Statutory/Common Practice
Other Licensing Appeals	6 Years	Destroy	Statutory/Common Practice
Other Appeals/Inquiries	6 Years	Destroy	Statutory/Common Practice
Non-secure Tenancy Possession Proceedings	6 Years	Destroy	Statutory/Common Practice
Secure Tenancy Possession Proceedings	6 Years	Destroy	Statutory/Common Practice
Trespassers/Squatter Proceedings	6 Years	Destroy	Statutory/Common Practice
General Advice	6 Years	Destroy	Common Practice
Specific Contracts	12 years	Destroy	Common Practice

Document Types/ Description	Retention Periods	Action	Rationale/ Legislation
<b>HUMAN RESOURCES</b>			
Employee Record Examples: <ul style="list-style-type: none"> <li>Records relating to employment relationship</li> <li>Pay Records</li> <li>Attendance and Leave</li> <li>Training and job qualification requirements.</li> <li>Discipline</li> <li>Attendance management</li> <li>Performance management</li> <li>Leaving process documentation</li> </ul>	7 years after end of Employment	Destroy	Limitation Act 1980, CIPD
Payroll processing records ensuring correct payments and deductions.	7 years after the conclusion of the financial transaction that the record supports	Destroy	HM Treasury Guidelines,
Maternity, Paternity, Adoption Shared Parental Leave documentation	7 years after return to work	Destroy	Limitation Act 1980
Right to Work Checks	2 years after the end of employment	Destroy	Immigration, Asylum and Nationality Act 2006
Emergency Contact Details	End of Employment	Destroy	Business Need
Bank Details	3 months after end of Employment	Destroy	Business Need
Training records (proof of achievement/attendance/completion)	7 years after end of Employment. 40 years after end of employment if related to health surveillance	Destroy	Limitation Act 1980, business need, Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013, Control of Substances Hazardous to Health 2002
<b>Pension Administration</b>			
Pay and employment records to comply with administrator's requirements	Up to 15 years after the end of employment or until scheme retirement age.	Destroy	Local Government Pension Scheme Regulations
<b>Recruitment and Selection</b>			
Successful Recruitment Candidate Information	7 Years after end of Employment	Destroy	Limitation Act 1980
Unsuccessful Recruitment Candidate Information	9 months from appointment decision	Destroy	CIPD, Business Need

<b>Health and Safety</b>			
Individual records relating to Health Surveillance	40 years after last action	Destroy	Health and Safety at Work Act 1974/Control of Substances Hazardous to Health 2002
Personal Risk Assessments	7 years after the end of employment	Destroy	Limitation Act 1980
Records relating to accidents or near misses	7 years or if child involved until they are age 22	Destroy	Limitation Act 1980, Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013, business need
<b>Reporting Data</b>			
Staff Survey Data (not personal data)	Destroy <b>2</b> years after administrative use has concluded	Destroy	Business Need
Equality and Diversity Published Data and Reports (not personal data)	6 years after reporting date or period	Review	Public Sector Equality Duty
<b>Terms and Conditions</b>			
Collective Agreements (not personal data)	10 years after cease to be effective	Review	Business Need/CIPD
Policies and Procedures (not personal data)	10 years after cease to be effective	Review	Business Need



Document Types/ Description	Retention Periods	Action	Rationale/Legislation
<b>Partnership, Agency and External Meetings</b>			
<p>The process of preparing business for partnership and agencies consideration and making the record of discussion, debate and resolutions, where the local authority legally <b>owns</b> the record:</p> <ul style="list-style-type: none"> <li>▪ Documents establishing the committee</li> <li>▪ Agendas.</li> <li>▪ Minutes</li> <li>▪ Council reports</li> <li>▪ Recommendations</li> <li>▪ Supporting documents such as Council briefing and discussion papers.</li> </ul>	<p><b>Permanent. Offer to Archivist.</b> Transfer to place of deposit after administrative use is concluded</p>	Keep	Common Practice
City Council held mailing lists in relation to Partnerships, Agencies, Working Groups and other external committees	Permanent, though constantly updated, with requests for removal actioned instantly	Constantly maintain	Privacy and Electronic Communications (EC Directive) Regulations
The process of preparing business for external committees' consideration, and making the record of discussion, debate and resolutions, where the local authority <b>does not</b> own the record. Types as above	12 Months after last Action	Destroy	Business Need
Members Public Attendance Registers	Maintained on website until member ceases to hold office	Destroy	Business Need/Public Information
Members Declaration of Financial Interests	Length of term in office plus 12 months.	Destroy	Business Need

Document Types/ Description	Retention Periods	Action	Rationale/Legislation
<b>Information Management</b>			
<p>The activity whereby standards, authorities, restraints and verifications are introduced and maintained to manage information effectively:</p> <ul style="list-style-type: none"> <li>• Classification schemes</li> <li>• Statutory Registers for data protection accountability</li> </ul>	6 Years after the year of closure of List/Scheme	Delete	Common practice
The process that records the disposal of records: Disposal certificates	Destroy <b>12</b> years after last action		Common practice based on Limitation Act
<p>FOI / EIR / Data Protection Case Records:</p> <ul style="list-style-type: none"> <li>• Email or letter Requests</li> <li>• Exemption Consideration</li> <li>• Information released</li> <li>• Case Notes</li> <li>• Acknowledgement letters</li> <li>• Refusal Letters</li> </ul>	<b>2</b> years after information released or withheld	Destroy	Business Need
<p>CCTV - The process of managing CCTV images</p> <ul style="list-style-type: none"> <li>• Tapes</li> <li>• HDD Images</li> <li>• Still Images</li> </ul>	31 days after date of recording unless required for evidential purposes	Destroy	Common Practice and CCTV Code of Practice

Document Types/ Description	Retention Periods	Action	Rationale/Legislation
<b>Civic &amp; Royal Events</b>			
The recording of ceremonial events and civic occasions: <ul style="list-style-type: none"> <li>• Visitors' book</li> <li>• Audio tapes</li> <li>• Video tapes</li> <li>• Photographs</li> </ul>	<b>Permanent. Offer to Archivist.</b> Transfer to place of deposit after administrative use is concluded	Keep	Common practice
The process of organising a ceremonial event or civic occasions	<b>7 years</b> after administrative use is concluded	Destroy	Common practice

Document Types/ Description	Retention Periods	Action	Rationale/Legislation
<b>Enquiries and Complaints</b>			
The management of enquires, submissions and complaints to the council. To include: <ul style="list-style-type: none"> <li>• Registers</li> <li>• Reports</li> <li>• Correspondence</li> <li>• Ombudsmen</li> <li>• Printed materials</li> </ul>	<b>6 Years.</b> Then review before deletion	Destroy	Business Need.

Document Types/ Description	Retention Periods	Action	Rationale/Legislation
<b>REGULATORY SERVICES</b>			
<b>Community Response Team</b>			
Case management Files of Anti-Social Behaviour and Environmental cases	12 Years	Destroy	Business Need
Collection of data relating to Anti Social Behaviour	12 Years	Destroy	Business Need
Service Requests	6 Years	Destroy	Business Need
PACE Interviews	6 Years	Destroy	Business Need
Fixed Penalty Notices	6 Years	Destroy	Business Need
<b>Business Regulation</b>			
Commercial Premises Files	7 Years	<b>Business Regulation</b>	Statutory food safety and health and safety interventions e.g. food hygiene inspections
Accident Records	7 Years (30 Years for Asbestos)	Destroy	Statutory Health and Safety Role
Service Requests	7 Years (30 Years for Asbestos)	Destroy	Statutory EH regulatory role - covers all EH disciplines
Infectious Diseases	25 Years	Destroy	Statutory Public Health Regulatory Role
Samples	7 Years	Destroy	Statutory Public Health Record
<b>HMO Enforcement</b>			
Records relating to the designation and management of licensing schemes	6 years from date scheme expires unless required for renewal of a scheme	Destroy –	Limitations Act 1980
Service Requests inc TRO	6 years from closure of service request	Destroy	Limitations Act 1980
Licensing records	6 years from expiry of licence – if property no longer licensable	Destroy	Limitations Act 1980
Legal notices inc financial penalties	6 years from date of compliance	Destroy	Limitations Act 1980
Formal legal Investigations & Prosecutions	6 years from closure of file	Destroy	Limitations Act 1980
<b>Registration, Certification and Licensing</b>			
Summary management systems that allow the monitoring & management of registration, certification and licenses registration requirements in summary form	<b>Permanent. Offer to Archivist for review.</b> Transfer to place of deposit after administrative use is concluded	Keep	Business Need
The administration of applications, registration, certification and licences in relation to local authorities' registration requirements <ul style="list-style-type: none"> <li>• Applications for animal registration</li> <li>• Applications for registration of a business</li> </ul>	2 years after registration or entitlement lapses	Destroy	<u>Statutory</u> Note: may want <b>archival review</b> in cases of licensing of children in entertainment

<ul style="list-style-type: none"> <li>premises</li> <li>• Applications for release of animals impounded</li> <li>• Registers</li> </ul> <p>Certificates of registration of:</p> <ul style="list-style-type: none"> <li>• door supervisors</li> <li>• taxi drivers</li> <li>• beauty therapists</li> <li>• Animal movement licenses</li> <li>• Gaming</li> </ul>			
<p>The process involved in licensing sites for the holding or use of toxic or hazardous substances. (including petroleum, agricultural chemical products or herbicides)</p> <ul style="list-style-type: none"> <li>• Contaminated land register/pollution</li> </ul>	<p><b>Permanent. Offer to Archivist.</b> Transfer to place of deposit after administrative use is concluded - <b>60</b> years after registration or entitlement lapses</p>	Keep	Common Practice
<b>Notification</b>			
<p>The process of issuing notices to citizens with respect to particular responsibilities</p> <ul style="list-style-type: none"> <li>• Objections to notices</li> <li>• Appeals against notices</li> <li>• Registration of premises Infringement notices</li> </ul>	2 years after the matter is concluded	Destroy	Common practice
<b>Prosecution</b>			
<p>The process of prosecution or sanction of an individual or organisation for failing to comply with their legal responsibilities</p> <ul style="list-style-type: none"> <li>• Prosecution/sanction files</li> </ul>	7 years from last action	Destroy	Common Practice
<b>Bye Laws</b>			
<b>Enactment</b>			
<p>The process of making local laws</p> <ul style="list-style-type: none"> <li>• Master Set of bye-laws</li> <li>• Policy Development documents</li> <li>• Correspondence</li> <li>• Submissions</li> </ul>	<p><b>Permanent. Offer to Archivist for review.</b> Transfer to place of deposit after administrative use is concluded</p>	Keep	Common Practice
<b>Administration &amp; Enforcement</b>			

The process of administering and enforcing bye-laws <ul style="list-style-type: none"> <li>• Applications and certificates</li> <li>• Permits</li> <li>• Licences</li> <li>• Infringement notices</li> <li>• Correspondence</li> </ul>	<b>2 years</b> after certificate has expired or penalty payment has been made or the matter has been finished or correspondence on the matter has ceased	Destroy	Common practice
<b>Home Improvement Agency</b>			
DFG Grant Applications and associated paperwork	<b>7 Years</b>	Destroy	Statutory HIA role
ERG Grant Applications and associated paperwork	<b>10 years (length of land charge) and 1 year thereafter</b>	Destroy	Business Need
Flexible Home Loan Files	<b>For the life of the loan and 6 years thereafter</b>	Destroy	FCA/FHIL requirements

Document Types/ Description	Retention Periods	Action	Rationale/Legislation
<b>Housing</b>			
The process of the allocation and management of social housing by the local authority and the associated issues of homelessness			
The registration of individuals housing applications: <ul style="list-style-type: none"> <li>Council housing register</li> </ul>	<b>Permanent. Offer to Archivist.</b>	Keep	Common Practice
The process for applying for council housing (Unsuccessful applications only, successful applications will generally be placed on the tenancy file): <ul style="list-style-type: none"> <li>Council housing Application forms and supporting material</li> <li>Application for transfer of tenancy and supporting papers</li> </ul>	7 years after Closure	Destroy	Common Practice
The process for managing the tenancy of an individual tenant: <ul style="list-style-type: none"> <li>Correspondence re tenancy</li> <li>Tenancy files</li> <li>Council housing Application forms and supporting material</li> <li>Application for transfer of tenancy and supporting papers</li> <li>Application for emergency housing or referral from another agency</li> <li>Help to Rent</li> </ul>	<b>12 years after termination of tenancy</b> <i>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</i>	Destroy	Common practice
<b>Tenancy Agreements</b>			
The process of awarding tenancies in welfare housing: <ul style="list-style-type: none"> <li>Signed tenancy agreements</li> <li>Sealed tenancy agreements</li> </ul>	<u>Tenancies</u> 6 years after the terms of agreement have expired  <u>Tenancies Under Seal</u> 12 years after the terms of agreement have expired	Destroy   Destroy	Statutory

Document Types/ Description	Retention Periods	Action	Rationale/Legislation
<b>Property</b>			
<b>Conveyance</b> (see also Property Acquisition and Disposal)			
The process of changing ownership of land or property: <ul style="list-style-type: none"> <li>• Conveyancing files</li> </ul>	12 years after closure	Destroy	Statutory
Right to Buy (sale of Flats and Houses): <ul style="list-style-type: none"> <li>• Sale documents</li> <li>• Agreement concerning sale</li> </ul>	12 Years after completion for freehold sale; for term of lease for leasehold sale.	Destroy	Business Need
Right to Buy – withdrawn or cancelled: <ul style="list-style-type: none"> <li>• Correspondence</li> </ul>	1 year after close of calendar year	Destroy	Business Need
Land Registry application to register assets of community value: <ul style="list-style-type: none"> <li>• Legal file copy</li> </ul>	3 years after registration	Destroy	Property will have originals
Restrictive Covenants and / or variation of covenants	12 years after variation	Destroy	Statutory/Common Practice
Compulsory Purchase	12 years after completion	Destroy	Statutory/Common Practice
<b>Property and Land Management</b>			
Reports to management on overall property of the local authority: <ul style="list-style-type: none"> <li>• Consolidated property &amp; buildings annual reports</li> <li>• Summary of leased property</li> <li>• Summary of local authority's owned property</li> <li>• Site register</li> <li>• Register of leases</li> <li>• Tenancy management including correspondence with tenant</li> <li>• Negotiation of rent reviews, lease renewals</li> <li>• Completion of assignments</li> </ul>	<b>Permanent. Offer to Archivist.</b> Transfer to place of deposit after administrative use is concluded	Keep	Business Need
<b>Property Acquisition and Disposal (see also conveyance)</b>			
Management of the acquisition (by financial lease or purchase) process for real property <ul style="list-style-type: none"> <li>• Plans</li> </ul>	Retain for life of property or building plus 12 years. Offer material re: major/significant properties to	Keep	Business Need



	<b>Archivist for review</b>		
Management of the disposal (by sale or write off) process for real property: <ul style="list-style-type: none"> <li>• Legal documents relating to the sale</li> <li>• Particulars of sale documents</li> <li>• Board of Survey</li> <li>• Tender documents</li> <li>• Conditions of contracts</li> </ul>	<b>15 years.</b> after all obligations/entitlement are concluded Offer material re major/significant properties to <b>Archivist for review</b>	Destroy	Business Need
Application to claim ownership of land by the Council. <ul style="list-style-type: none"> <li>• Correspondence</li> <li>• Adverse possession claims</li> </ul>	12 years after admin use has concluded	Destroy	Business Need
<b>Property Maintenance and Renovation</b>			
The process of managing and undertaking renovations and development of property			
Management buildings and estates of "special interest" <ul style="list-style-type: none"> <li>• Project specification</li> <li>• Plans</li> <li>• Installation manuals</li> <li>• Certificates of Approval</li> </ul>	<b>Permanent. Offer to Archivist.</b> Transfer to place of deposit after administrative use is concluded	Keep	Business Need
Management all other buildings and estates <ul style="list-style-type: none"> <li>• Project specifications</li> <li>• Plans</li> <li>• Installation manuals</li> <li>• Certificates of approval</li> </ul>	Retain for life of property or building	Keep	Business Need
<b>Compliance Team</b>			
Electrical Certification	15 Years Destroy the oldest record in order to keep 15 years history	Destroy	H&SAW Act
Fire Risk Assessments	10 Years Destroy the oldest record in order to keep 10 years history.	Destroy	H&SAW Act
Fire Safety test and Inspections (EL, FA, Extinguishers / Detection ) Fire Dorr Surveys	5 Years Destroy the oldest record in order to keep 5 years history	Destroy	H&SAW Act

Lightning Protection			
Lift and Lifting service and Maintenance and Insurance Inspections	5 Years Destroy the oldest record in order to keep 5 years history	Destroy	H&SAW Act
Legionella ( Risk Assessments )	15 Years Destroy the oldest record in order to keep 15 years history	Destroy	H&SAW Act
Legionella Test, inspections and samples	5 Destroy the oldest record in order to keep 5 years history	Destroy	H&SAW Act
Asbestos All documentation / tests surveys and samples	40 Years Need to maintain 40 year history	Destroy	H&SAW Act
Gas Service	5 Years Destroy the oldest record in order to keep 5 years history	Destroy	H&SAW Act Gas Regs
Fixed Ladders	5 Years Destroy the oldest record in order to keep 5 years history	Destroy	H&SAW Act
Fall arrest Equipment	5 Years Destroy the oldest record in order to keep 5 years history	Destroy	H&SAW Act
Eye Bolts			

Document Types/ Description	Retention Periods	Action	Rationale/Legislation
<b>Procurement</b>			
<b>Contracts and Tendering</b>			
<b>Pre Contract Advice</b>			
The process of calling for expressions of interest: <ul style="list-style-type: none"> <li>Expressions of Interest</li> </ul>	2 years after contract let or not proceeded with	Destroy	Common Practice
<b>Specification and Contract Development</b>			
The process involved in the development and specification of a contract: Tender specification Note: For project files containing drafts leading to a final version these records can be destroyed	<u>Ordinary Contracts</u> 6 years after the terms of contract have expired  <u>Contracts Under Seal</u> 12 years after the terms of contract have expired	Destroy  Destroy	Statutory
<b>Tender Issuing and Return</b>			
The process involved in the issuing and return of a tender: <ul style="list-style-type: none"> <li>Opening notice</li> <li>Tender envelope</li> </ul>	1 year from start of contract	Destroy	Common practice
Contracts Registers / register of tenders / quotations	Permanent	Keep	Common Practice
Evaluation of Tender: <ul style="list-style-type: none"> <li>Evaluation criteria</li> </ul>	<u>Ordinary Contracts</u> 6 years after the terms of contract have expired  <u>Contracts Under Seal</u> 12 years after the terms of contract have expired	Destroy  Destroy	Statutory
Successful tender document: <ul style="list-style-type: none"> <li>Tender documents</li> <li>Quotations</li> </ul>	<u>Ordinary Contracts</u> 6 years after the terms of contract have expired <u>Contracts Under Seal</u> 12 years after the terms of contract have	Destroy  Destroy	Statutory

	expired		
Unsuccessful tender documents: <ul style="list-style-type: none"> <li>• Tender documents</li> <li>• Quotations</li> </ul>	1 year after start of contract	Destroy	Common Practice
<b>Post Tender Negotiation</b>			
The process in negotiation of a contract after a preferred tender is selected: <ul style="list-style-type: none"> <li>• Clarification of contract</li> <li>• Post tender negotiation minutes</li> </ul>	1 year after the terms of contract have expired	Destroy	Common practice
<b>Awarding of contract</b>			
The process awarding of contract: <ul style="list-style-type: none"> <li>• Signed contract</li> </ul>	<u>Ordinary Contracts</u> 6 years after the terms of contract have expired	Destroy	Statutory
	<u>Contracts Under Seal</u> 12 years after the terms of contract have expired	Destroy	
<b>Contract Management</b>			
Contract operation and monitoring: <ul style="list-style-type: none"> <li>• Service Level Agreements</li> <li>• Compliance reports</li> <li>• Performance Reports</li> </ul>	2 years after the terms of contract have expired	Destroy	Common practice
Management and amendment of contract: <ul style="list-style-type: none"> <li>• Minutes and papers of meetings</li> <li>• Changes to requirements</li> <li>• Variation forms</li> <li>• Extension of contract</li> <li>• Complaints</li> <li>• Disputes on payment</li> </ul>	<u>Ordinary Contracts</u> 6 years after the terms of contract have expired <u>Contracts Under Seal</u> 12 years after the terms of contract have expired	Destroy  Destroy	Statutory

Document Types/ Description	Retention Periods	Action	Rationale/Legislation
<b>FINANCIAL MANAGEMENT</b>			
<b>Accounts and Audit</b>			
Reporting			
<p>The process that consolidates financial transactions on an annual basis for corporate reporting purposes</p> <ul style="list-style-type: none"> <li>▪ Consolidated annual reports</li> <li>▪ Consolidated financial statements</li> <li>▪ Statement of financial position</li> <li>▪ Operating statements</li> <li>▪ Cash Flow statements</li> </ul>	<p><b>Permanent. Offer to Archivist.</b> Transfer to place of deposit after administrative use is concluded</p>	Keep	
General Ledger records	Permanent	Keep	Records are integral to the ongoing balances on the financial system. Historic transactions are needed when new accounting standards require reviewing historic data to process transition
<p>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</p> <ul style="list-style-type: none"> <li>▪ Consolidated monthly &amp; quarterly reports</li> <li>▪ Consolidated monthly &amp; quarterly financial statements</li> <li>▪ Working papers for the preparation of the above</li> <li>▪ Monthly accrual statements</li> <li>▪ Creditor listings and reports</li> <li>▪ Debtor listings and reports</li> </ul>	Keep until administrative use is concluded	Destroy	Common Practice
<b>Financial Transactions Management</b>			
<p>Management of the approvals process for purchase, including investigations</p> <ul style="list-style-type: none"> <li>▪ Appointments &amp; delegations</li> <li>▪ Audit investigations</li> </ul>	Destroy 7 years after the end of the financial year in which the records were created	Destroy	Statutory

<ul style="list-style-type: none"> <li>▪ Arrangements for the provision of goods and/or services</li> </ul>			
<p>Identification of the receipt, expenditure and write offs of public monies</p> <ul style="list-style-type: none"> <li>▪ Allowances</li> <li>▪ Work orders</li> <li>▪ Credit card statements</li> <li>▪ Cash books</li> <li>▪ Receipts</li> <li>▪ Cheque counterfoils</li> <li>▪ Vouchers</li> </ul>	Destroy 7 years after the end of the financial year which saw the conclusion of the financial transaction that the record supports	Destroy	Statutory – This period may be reduced with the agreement of Customs and Excise and/or HMRC
<p>Identification of the expenditure of public monies</p> <ul style="list-style-type: none"> <li>• Bank Statements</li> <li>• Bank Reconciliation</li> </ul>	Permanent	Keep	Bank statements are held electronically on the financial system and due to the ongoing nature of balances each record builds up to the current balance
<p>Identification of the expenditure of public monies</p> <ul style="list-style-type: none"> <li>• Invoices</li> <li>• Subsidiary ledgers (annual)</li> </ul>	Permanent	Keep	These records must be retained in order to rebuild financial records when accounting standards are changed and also, with regards to tax documents, to evidence the tax position when there are changes in taxation rules arising from tribunal cases which will then lead to back claims.
<p>Processes that balance &amp; reconcile financial accounts</p> <ul style="list-style-type: none"> <li>▪ Reconciliation</li> <li>▪ Summaries of accounts</li> </ul>	Destroy 2 years after administrative use is concluded	Destroy	Business Need
<p>Taxation Records</p> <ul style="list-style-type: none"> <li>▪ Taxation records</li> <li>▪ Motor vehicle logs</li> <li>▪ Fringe benefits tax records</li> <li>▪ Group certificates</li> </ul>	Destroy 5 years after the end of the financial year in which the records were created	Destroy	Statutory
Processes involved in the collection of National Insurance Number	Destroy 2 years after the employee	Destroy	Common practice

▪ Notification & input records	ceases employment		
<b>Budgets and Estimates</b>			
The process of finalising local authorities' annual budget ▪ Annual Budget	<b>Permanent. Offer to Archivist.</b>	Transfer to place of deposit after administrative use is concluded	Only the final version of the annual budget needs to be kept
The process of developing local authorities' annual budget • Draft budgets • Departmental budgets • Draft Estimates	Keep for <b>2</b> years after annual budget adopted by local authorities	Destroy	Business Need
The process of reporting which examines the budget in relation to actual revenue and expenditure ▪ Quarterly statements	Keep till after <b>next</b> year's annual budget has been adopted by Local Authorities	Destroy	Business Need
<b>Loans</b>			
The activity of borrowing money to enable a local authority to perform its functions and exercise its powers ▪ Loan files	Keep for <b>7</b> years after the loan has been repaid	Destroy	Statutory
<b>Grants</b>			
The activity of providing a grant award to another party ▪ Grants to local charities ▪ Business grants under Sec 47 LGFA 1988	Keep current financial year plus <b>6</b> Years after grant has been awarded	Destroy	Common Practice
Summary management of loans ▪ Loans registers	<b>Permanent. Offer to Archivist.</b> Transfer to place of deposit after administrative use is concluded	Keep	Business Need
<b>Housing</b>			
The process of offering financial help with social housing provision and maintenance			
<b>Mortgages</b>			
• Mortgage agreements	Last payment + 6 years if	Destroy	Statutory

<ul style="list-style-type: none"> <li>• Correspondence</li> <li>• Right to Buy</li> </ul>	signed Last payment +12 years if sealed		
<b>Residential Charging Order / Landlords Consent</b>			
File	12 years after administrative use has concluded or after surrender, expiry or termination of lease or memoranda of terms	Destroy	Business Need
<b>Rent Payments</b>			
<ul style="list-style-type: none"> <li>• Correspondence concerning payment</li> <li>• Requests for payment</li> </ul>	Keep for 6 years after the end of the financial year in which repaid	Destroy	Statutory
<b>Home Improvement Grants</b>			
<ul style="list-style-type: none"> <li>• Agreement to pay loan</li> <li>• Details of payments</li> <li>• Correspondence relating to loan</li> </ul>	Keep for 6 years after last payment for grants under £50 000, For grants over £50 000 destroy 12 years after last payment Where plans and detailed drawings included <b>offer to Archivist</b>	Destroy	Statutory
<b>Council Tax Valuation</b>			
The valuation of rateable land within a municipal district for the purpose of the making of the rate <ul style="list-style-type: none"> <li>• Valuation lists</li> <li>• Correspondence</li> <li>• Objections</li> <li>• Reports</li> </ul>	<b>Valuation lists &amp; Schedules - Permanent. Offer to Archivist for review</b>  Otherwise Destroy <b>10</b> years after the year in which the valuation was made		Business Need
<b>Land and Property Valuation</b>			
The valuation of rateable land/property for the purpose of <ul style="list-style-type: none"> <li>• Valuation lists</li> <li>• Correspondence</li> <li>• Objections</li> <li>• Reports</li> </ul>	<b>Valuation lists &amp; Schedules - Permanent. Offer to Archivist for review</b>  Otherwise Destroy <b>10</b> years after the year in which the valuation was made	Destroy	In case of RV adjustments and other applicable reductions to a previous list
<b>Benefits</b>			



Information collected in respect of claims and awards of Housing Benefit, Local Council Tax Support and Discretionary Housing Payments <ul style="list-style-type: none"> <li>Supplementary records relating to the assessment of benefits</li> </ul>	All data if a claim is still in payment and <b>3</b> years plus current after the claim was closed	Destroy	Legislation-Social Security Administration Act 1992. LWD 5 2021
<b>Business Rates Property History</b>			
The recording of information for rateable properties identifying the person or company rated, including details of the rateable value of the property. Note: Records containing accounting information primarily, and not being a source of property history, should be disposed of according to the appropriate record class within the <b>Accounts &amp; Audit</b> function <ul style="list-style-type: none"> <li>Revenues system records</li> </ul>	<b>6</b> years plus current unless there is an outstanding debt being pursued	Destroy	Business Need
<b>Revenues (NNDR &amp; Council Tax)</b>			
Correspondence and financial records relating to the billing and collection of business rates and council tax: <ul style="list-style-type: none"> <li>Notices</li> <li>Correspondence</li> </ul>	Current + 6 Years after the year in which activity on the case ended	Destroy	Council Tax (Administration and Enforcement) Act 1992
<b>Payment Cards / Credit Cards</b>			
Application forms Payment card application forms	2 years after administrative use has concluded	Destroy	Business Need
Payment / Credit Card Policies and Procedures Policies issued and signed by staff in relation to the use of an authority issued payment card or credit card	4 years after administrative use has concluded	Destroy	Business Need
<b>Insurance</b>			
<b>Policy management</b>			
The summary management of insurance arrangements <ul style="list-style-type: none"> <li>Insurance register</li> </ul>	<b>Permanent. Offer to Archivist.</b> Transfer to place of deposit after administrative use is concluded.	Keep	Business Need

<p>The process of insuring local authority officers, property, vehicles and equipment against negligence, loss or damage</p> <ul style="list-style-type: none"> <li>• Insurance policies</li> <li>• Correspondence</li> </ul>	Permanent	Keep	Insurance claims can be made up to 3 years after the issue has been detected; this can be many years after the incident giving rise to the claim, for example asbestosis claims
<p>The process of renewing insurance policies</p> <ul style="list-style-type: none"> <li>• Insurance policy</li> <li>• Renewal records</li> <li>• Correspondence</li> </ul>	Permanent	Keep	Insurance claims can be made up to 3 years after the issue has been detected; this can be many years after the incident giving rise to the claim, for example asbestosis claims
<b>Claims Management</b>			
<p>The process that records insurance claims against the local authority or local authority officers</p> <ul style="list-style-type: none"> <li>• Claims Records</li> <li>• Correspondence</li> </ul>	Destroy 7 years after all obligations/entitlements are concluded (allowing for the claimant to reach 25 years of age)	Destroy	Business Need

Document Types/ Description	Retention Periods	Action	Rationale/Legislation
<b>Investigation Team</b>			
<b>Hard Copy Material</b>			
<b>Interviews Under Caution</b>			
The media used when undertaking audio recorded interviews under caution as part of the criminal investigation process:  - Writable Compact Discs - Magnetic Compact Tape Cassette	6 years after end of current financial year	Destroy	Limitation Act 1980
<b>Fraud Investigation / Prosecution Files</b>			
Paper files containing documentary evidence gathered during the course of criminal investigations	12 years after conclusion of investigation / prosecution / appeal	Destroy	Limitation Act 1980
Paper files containing documentary evidence gathered during the course of civil investigations, including staff disciplinary investigations	6 years after last action	Destroy	Limitation Act 1980
<b>Investigator Pocket Books</b>			
Controlled stationery notebooks held by Investigation Officers for recording investigation progress, observations, surveillance activity, relevant events, contemporaneous notes of interviews or conversations	6 years after date of last notebook entry	Destroy	Limitation Act 1980
<b>Soft Copy Material</b>			
<b>Fraud Case Management System</b>			
Records, notes and data entries compiled to manage investigation casework within a Council server hosted database (cloud hosted from July 2021):			
Fraud Proven / Prosecuted cases / Other sanction	12 years after conclusion of investigation / prosecution / appeal	Purged / deleted	Limitation Act 1980
Fraud Not Proven / No sanction	6 years after date of last action	Purged / deleted	Limitation Act 1980 (retained as intelligence

			for potential future investigation casework)
<b>Data Matching System</b>			
Bespoke data matching system with integrated bulk credit search capability. Used for OCC proactive initiatives as well as with external client organisations on a commercial basis.			
Oxford City Council Datasets	6 years after conclusion of matching exercise	Purged / deleted	Limitation Act 1980
Third Party Datasets	Immediately on conclusion of data matching project with client. Data exported to client site on request.	Purged / deleted / exported	Limitation Act 1980

Document Types/ Description	Retention Periods	Action	Rationale/Legislation
<b>CUSTOMER SERVICES</b>			
<b>Contact Centre</b>			
Recordings of telephone conversations	9 months	Destroy	Recordings are kept for 9 months so that they can be used for training, monitoring and to validate the content of conversations where complaints or quality issues are raised either by internal or external customers on the quality of service received
Grievance, Disciplinary or Stage Meetings	Refer to HR guidelines	Refer to HR guidelines	Formal documents of this nature are not kept by individual Managers but are sent to HR so fall under their operating policies
<b>Customer Service Applications Team</b>			
<b>Service Specific</b>			
<b>Planning</b>			
Invalid tracker- list of applications that are invalid and need to be monitored/returned	Permanent/revolving data	Update	Only require to list those currently invalid
Emails to and from <a href="mailto:planning@oxford.gov.uk">planning@oxford.gov.uk</a>	Max 6 months, usually 3 months	Destroy unless pertinent to ongoing case, then add to iDOX case file.	Business Need to retain for Planning
Statistics on invalids	2 years	Delete	Business Need
Information Supplied as part of a Planning Audit	Permanent	Keep	As per request of service
<b>Land Charges</b>			
Copies of searches A copy of the search that was sent to a given customer for a particular property, kept on iDOX in the Land Charges area	Permanently	Keep	
Land charges financial information <ul style="list-style-type: none"> <li>• Fee reconciliation documents (copies</li> <li>• information from Agresso to confirm that payments have been received and allocated to the correct place/ that refunds are tracked and returned)</li> </ul>	6 Years	Destroy	Common Practice
Emails	Permanent	Keep	Business Need

<ul style="list-style-type: none"> <li>Regarding sections 38, 106, Right to Buy</li> </ul>			
All notices from LLC register or another department			
Emails to and from <a href="mailto:landcharges@oxford.gov.uk">landcharges@oxford.gov.uk</a>	Max 6 months, usually 3 months	Destroy unless pertinent to ongoing case, then add to iDOX case file.	Business Need
Search spreadsheets which contain search address, initials of person carrying out the search etc. No other way to get info on who did what.	6 years	Delete	Business Need
Land charges financial information <ul style="list-style-type: none"> <li>Fee reconciliation documents (copies of information from Agresso to confirm that payments have been received and allocated to the correct place/ that refunds are tracked and returned)</li> <li>Invoicing requests and documentation</li> </ul>	6 years	Destroy	Common Practice
<b>Street Naming and Numbering</b>			
SNN applications and correspondence on iDOX/ Uniform <ul style="list-style-type: none"> <li>Copies of application forms</li> <li>Emails to and from customers pertaining to applications made for SNN</li> <li>Confirmation of payment for cases</li> <li>Lists of assigned addresses as a result of the SNN application (plot to postal)</li> </ul>	Permanent	Keep	Business Need – to keep record of how decisions made
Correspondence with Royal Mail regarding applications			
Emails to and from <a href="mailto:snn@oxford.gov.uk">snn@oxford.gov.uk</a>	Max 6 months, usually 3 months	Destroy unless pertinent to ongoing case, then add to iDOX case file.	Business Need
<b>Section – HR Documents</b>			
General -Old CSAO/CSAO JDs (Manager>Staff files>JDs) -Team meeting information	2 months once superseded/updated  Team meetings 12 months	Delete	Business Need
Copies of Business Continuity Plans	Current version only – until superseded	Delete	Business Need

Leave calendars	12 months	Delete	Business Need to ensure holiday entitlement is done fairly across the team
Staffing and asset log <ul style="list-style-type: none"> <li>▪ Phone number (work) of the individual</li> <li>▪ Laptop number</li> <li>▪ BICSA number</li> </ul> Name of previous post holder (should be initials?)	Keep for 3 months from end of employment	Delete	Business Need
ECFs	12 months after approval	Destroy	Business Need
Instructional notes on how to process certain types of managerial function	Keep until superseded the delete	Destroy	Business Need
Interview notes for agency staff (successful)	Refer to HR retention period.	Destroy	Business Need
Interview notes for agency staff (unsuccessful)	Refer to HR retention period.	Destroy	Business Need
Performance: <ul style="list-style-type: none"> <li>▪ Probation reports</li> <li>▪ Performance plans</li> </ul>	Refer to HR retention period.	Destroy	Business Need
Process of monitoring staff leave and attendance: <ul style="list-style-type: none"> <li>▪ Sick leave</li> <li>▪ Jury service</li> <li>▪ Study leave</li> <li>▪ Special and personal leave</li> <li>▪ Flexitime sheets</li> <li>▪ Leave applications</li> </ul> Annual leave	Refer to HR retention period.	Destroy	Business Need
Performance: <ul style="list-style-type: none"> <li>▪ Informal performance plans/ documented</li> <li>▪ discussions</li> </ul>	Refer to HR retention period.	Destroy	Business Need
Register of interests information Confidentiality agreements	7 years after end of employment	Destroy	Business Need
Appraisals -We currently have appraisals from the "old system" still on mDrive- propose moving these to iTrent and then should be removed by HR in line with their guidelines as needed?	Refer to HR retention period.	Destroy	Business Need
CSE submission info	permanent	keep	To keep a record of the CSE history.
ICT new user requests (historic)	12 months	Destroy	Business Need
Team photos	Whilst subjects are employed by the Council only	Destroy	Business Need
IDOX deletion request log	Refer to Planning requirements		
Performance data – weekly/monthly/daily	12 Months	Destroy	Business Need

<b>Corporate Support Team</b>			
Staff Coaching Notes	Refer to HR retention period	Destroy	Business Need
CST stats and information	Keep for 12 months/anonymize records relating to people who have left	Review/ Destroy	Business Need
Flex sheets	2 years	Destroy	Business Need
Recruitment documents /HR documents	Refer to HR Retention period	Destroy	
Corporate Team stats	12 months	Destroy	Business Need
SLA meetings	2 years	Destroy	Business Need
Standard Operating Procedures	Retain until superseded	Destroy	Business Need
Post and Copier Unit documentation	6 years	Destroy	Business Need
Documents for scanning and processing	1 month after processing complete	Destroy	Business Need
Royal Mail Scanned Post	1 month after processing complete	Destroy	Business Need



Document Types/ Description	Retention Periods	Action	Rationale/Legislation
<b>Regeneration and PMO</b>			
Capital project files including: <ul style="list-style-type: none"> <li>• Project Initiation and proposals</li> <li>• Project related emails</li> <li>• Business Case</li> <li>• Feasibility reports</li> <li>• Project photos</li> <li>• Project Schedule and Programmes</li> <li>• Budget trackers</li> <li>• Risk registers</li> <li>• Project Board records</li> <li>• Project closure documents</li> <li>• Public engagement records where relevant</li> </ul>	24 months after project completion.	Review	Business Need - Review, retain relevant information in separate files and/or property and pass to property and retain in line with their retention schedule and destroy remainder
PMO reporting: <ul style="list-style-type: none"> <li>• DRG, Asset Review and Development Board papers and minutes</li> </ul>	12 months or aligned to project completion as above	Destroy	Business Need
Document Types/ Description	Retention Periods	Action	Rationale/Legislation
<b>City Centre Management</b>			
Business relating to stakeholder groups e.g. City Centre Taskforce and Talk of the Town where the local authority legally <b>owns</b> the record: <ul style="list-style-type: none"> <li>▪ Agendas</li> <li>▪ Minutes</li> <li>▪ Papers and supporting documents</li> <li>▪ Recommendations</li> </ul>	Retain permanently	Keep	Business Need
Business relating to stakeholder groups e.g. City Centre Taskforce and Talk of the Town where the local authority legally <b>does not own</b> the record: <ul style="list-style-type: none"> <li>▪ Agendas</li> <li>▪ Minutes</li> <li>▪ Papers and supporting documents</li> <li>▪ Recommendations</li> </ul>	12 months	Review	Business Need
Database for city centre stakeholders	Review and update annually. If database no longer needed destroy 3 months after closure.	Review	Business Need

Grant Funding monitoring, claims and records	Whatever is dictated by the funder (5-10 years)	Review	Business Need/Funder Rules
Records of organisations supported with grants through business support schemes	5-10 years or whatever is dictated by a third party funded.	Review	Business Need/Funder Rules
<b>Document Types/ Description</b>	<b>Retention Periods</b>	<b>Action</b>	<b>Rationale/Legislation</b>
<b>Economic Development</b>			
Business relating to stakeholder groups e.g. Economic Growth Steering Board where the local authority legally <b>owns</b> the record: <ul style="list-style-type: none"> <li>▪ Agendas</li> <li>▪ Minutes</li> <li>▪ Papers and supporting documents</li> <li>▪ Recommendations</li> </ul>	Retain permanently	Keep	Business Need
Business relating to stakeholder groups e.g. Business Forums where the local authority legally <b>does not own</b> the record: <ul style="list-style-type: none"> <li>▪ Agendas</li> <li>▪ Minutes</li> <li>▪ Papers and supporting documents</li> <li>▪ Recommendations</li> </ul>	12 months	Review	Business Need
Database for city wide business support	Review and update annually. If database no longer needed destroy 3 months after closure.	Review	Business Need
Grant Funding monitoring, claims and records	Whatever is dictated by the funder (5-10 years)	Review	Business Need
Records of organisations supported with grants through business support schemes	5-10 years or whatever is dictated by a third party funded.	Review	Business Need

<b>Document Types/ Description</b>	<b>Retention Periods</b>	<b>Action</b>	<b>Rationale/Legislation</b>
<b>Planning Authority</b>			
<b>Planning Applications</b>			
Planning Application Documents including application form	Permanent	Keep	Town and Country Planning Act 1990 Town and Country Planning (Development Management Order) 2015
Certificate of Ownership	Permanent	Keep	Town and Country Planning Act 1990 Town and Country Planning (Development Management Order) 2015
Site Plan	Permanent	Keep	Town and Country Planning Act 1990 Town and Country Planning (Development Management Order) 2015
Medical Information (used for fee exemption)	Until decision is made (or at validation stage)	Destroy	Details only used for fee exemption
Acknowledgement Letter	Permanent	Keep	Town and Country Planning Act 1990 Town and Country Planning (Development Management Order) 2015
Public Comment	6 years from date of decision	Destroy	Town and Country Planning Act 1990 Town and Country Planning (Development Management Order) 2015
Photo	Permanent	Keep	Town and Country Planning Act 1990 Town and Country Planning (Development Management Order) 2015
Revised Drawing	Permanent	Keep	Town and Country Planning Act 1990 Town and Country Planning (Development Management Order) 2015
Superseded Drawing	Until decision is issued	Destroy	Town and Country Planning Act 1990 Town and Country Planning (Development Management Order) 2015
Approved Plans	Permanent	Keep	Town and Country Planning Act 1990 Town and Country Planning (Development Management Order) 2015
Agreements: S106; CIL	Permanent	Keep	Town and Country Planning Act 1990 Town and Country Planning (Development Management Order) 2015
Officer Reports	Permanent	Keep	Town and Country Planning Act 1990 Town and Country Planning (Development Management Order) 2015

Committee Report	Permanent	Keep	Town and Country Planning Act 1990 Town and Country Planning (Development Management Order) 2015
Emails	Permanent	Keep	Town and Country Planning Act 1990 Town and Country Planning (Development Management Order) 2015
Letters(not comments)	Permanent	Keep	Town and Country Planning Act 1990 Town and Country Planning (Development Management Order) 2015
Decision Notice	Permanent	Keep	Town and Country Planning Act 1990 Town and Country Planning (Development Management Order) 2015
<b>Appeals</b>			
Application Form	Permanent	Keep	Town and Country Planning Act 1990 Town and Country Planning (Development Management Order) 2015
Appeal Comments	Permanent	Keep	Town and Country Planning Act 1990 Town and Country Planning (Development Management Order) 2015
Appeal Correspondence	Permanent	Keep	Town and Country Planning Act 1990 Town and Country Planning (Development Management Order) 2015
Appellants Statement	Permanent	Keep	Town and Country Planning Act 1990 Town and Country Planning (Development Management Order) 2015
Appeal Decision	Permanent	Keep	Town and Country Planning Act 1990 Town and Country Planning (Development Management Order) 2015
Appeal Costs	Permanent	Keep	Town and Country Planning Act 1990 Town and Country Planning (Development Management Order) 2015
Background Papers	Permanent	Keep	Town and Country Planning Act 1990 Town and Country Planning (Development Management Order) 2015
Councils Appeal Proof	Permanent	Keep	Town and Country Planning Act 1990 Town and Country Planning (Development Management Order) 2015
Council's Appeal statement	Permanent	Keep	Town and Country Planning Act 1990 Town and Country Planning (Development Management Order) 2015

<b>Enforcement</b>			
Enforcement Notice	Permanent	Keep	Town and Country Planning Act 1990
Relevant Officer Notes	Permanent	Keep	Town and Country Planning Act 1990
Planning Authority – Urban Design and Heritage			
Listed Building Consent Applications			
Listed Building Consent Application Documents including application form	Permanent	Keep	Planning (Listed Buildings and Conservation Areas) Act 1990
Site plan	Planning (Listed Buildings and Conservation Areas) Act 1990	Keep	Planning (Listed Buildings and Conservation Areas) Act 1990
Acknowledgement Letter	Planning (Listed Buildings and Conservation Areas) Act 1990	Keep	Planning (Listed Buildings and Conservation Areas) Act 1990
Public comment	6 years from date of decision	Keep	Planning (Listed Buildings and Conservation Areas) Act 1990
Photo	Planning (Listed Buildings and Conservation Areas) Act 1990	Keep	Planning (Listed Buildings and Conservation Areas) Act 1990
Revised drawings	Planning (Listed Buildings and Conservation Areas) Act 1990	Keep	Planning (Listed Buildings and Conservation Areas) Act 1990
Superseded drawings	Until decision is issued	Destroy	Planning (Listed Buildings and Conservation Areas) Act 1990
Approved Plans	Permanent	Keep	Planning (Listed Buildings and Conservation Areas) Act 1990
Heritage Assessment/Statement of significance	Permanent	Keep	Planning (Listed Buildings and Conservation Areas) Act 1990
Officer Report	Permanent	Keep	Planning (Listed Buildings and Conservation Areas) Act 1990
Committee Report	Permanent	Keep	Planning (Listed Buildings and Conservation Areas) Act 1990
Heritage Assessment/Statement of significance	Permanent	Keep	Planning (Listed Buildings and Conservation Areas) Act 1990
Emails	Permanent	Keep	Planning (Listed Buildings and Conservation Areas) Act 1990
Letters (not comments)	Permanent	Keep	Planning (Listed Buildings and Conservation Areas) Act 1990
Decision notice	Permanent	Keep	Planning (Listed Buildings and Conservation Areas) Act 1990
Conservation Area Appraisals	Permanent	Keep	Planning (Listed Buildings and Conservation Areas) Act 1990
Article 4 Directions	Permanent	Keep	Planning (Listed Buildings and Conservation Areas) Act 1990
Listed Building Designations	Permanent	Keep	Planning (Listed Buildings and Conservation

			Areas) Act 1990
Photographic records of heritage assets	Permanent	Keep	Planning (Listed Buildings and Conservation Areas) Act 1990
<b>Planning Authority – CIL, S106 and Planning Monitoring</b>			
<b>CIL and S106 records</b>			
CIL Finance Records	Permanent	Keep	The Community Infrastructure Levy Regulations 2010 (As amended 2019, Infrastructure Funding Statement)
S106 Finance Records	Permanent	Keep	The Community Infrastructure Levy Regulations 2010 (As amended 2019, Infrastructure Funding Statement)
S106 Contributions and Monitoring	Permanent	Keep	The Community Infrastructure Levy Regulations 2010 (As amended 2019, Infrastructure Funding Statement)
Capital Programme Schemes (CIL)	Permanent	Keep	The Community Infrastructure Levy Regulations 2010 (As amended 2019, Infrastructure Funding Statement)
Housing and Employment Monitoring Records	Permanent	Keep	Localism Act 2011 - Part 6 Planning, section 113
CIL Liability Notices and CIL Letters	Permanent	Keep	The Community Infrastructure Levy Regulations 2010 (As amended 2019)
Site Visits Data	Permanent	Keep	The Community Infrastructure Levy Regulations 2010 (As amended 2019), Localism Act 2011 - Part 6 Planning, section 113
Site Visits Photographs	Permanent	Keep	The Community Infrastructure Levy Regulations 2010 (As amended 2019), Localism Act 2011 - Part 6 Planning, section 113
Personal Documents to Confirm Exemption	Destroy after exemption is processed	Destroy	The Community Infrastructure Levy Regulations 2010 (As amended 2019)

Document Types/ Description	Retention Periods	Action	Rationale/Legislation
<b>Museum</b>			
The management of collections of records transferred to the archives: <ul style="list-style-type: none"> <li>• Accession registers</li> </ul> Depositor files	<b>Permanent. Offer to Archivist.</b> - Transfer to place of deposit after administrative use is concluded	Keep	Common Practice

## 6. Oxford City Council Owned Companies

### Oxford City Housing Limited

Document Types/ Description	Retention Periods	Action	Rationale/Legislation
Company incorporation documents (Certificate of Incorporation, Register of Company Directors, Register of Shareholders, Shareholders' Agreement, Memorandum and Articles of Association, etc.)	Permanent	Retain	Requirements of Company Law/ best practice
Dividend Information, Company assets, liabilities, and credits, annual accounts, Company tax returns, VAT records	7 Years	Retain	Requirements of HMRC
Minutes of Board Meetings	Permanent	Retain	Requirements of Company Law
Land transfer agreements e.g. sale/purchase agreements, long leases, title deeds	Permanent	Retain	Best practice
Other material contracts – e.g. Build contracts, JCT/NEC contracts	7 Years (docs signed under hand) 13 years (doc executed under seal)	Retain	Limitation Act 1980/Best practice
Project Documents	After project completion; Financial - 7 years Decisions - 10 years Reports and meeting records - 5 years	Dispose	Limitation Act 1980/Best practice
Drawings, Surveys, Plans	Retain for life of building or until ownership transferred	Transfer or dispose	Best Practice



## Oxford Direct Services

<b>Cemeteries &amp; Crematoria</b>			
Summary management systems that record the location of burials and identity of deceased individuals <ul style="list-style-type: none"> <li>• Register of interments</li> <li>• Cemetery register</li> <li>• Cemetery plans</li> </ul>	<b>Permanent. Offer to Archivist.</b> Transfer to place of deposit after administrative use is concluded		Common practice
The process of regulation of burials and cremations <ul style="list-style-type: none"> <li>• Permits</li> <li>• Applications</li> <li>• Orders</li> </ul>	Destroy <b>5</b> year after last action		