



Records Management Policy

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Document Control

Title	Records Management Policy
Document Type	Approved
Author	Information Governance Manager
Owner	SIRO
Subject	Records retention, review and disposal policy
Government Security Classification	Official
Created	March 2018
Approved by	Information Assurance Board
Date Approved	20 April 2018
Review Date	May 2019 or earlier where there is a change in the applicable law or a Council restructure affecting this Policy Guidance

Version Control

Version	Date	Author	Description of Change
1	6/02/17	Yvonne Mason, Information Governance Manager	New Policy Draft
2	13/04/2017	Yvonne Mason, Information Governance Manager	Final. Approved by Assurance Board
3	01/03/2018	Yvonne Mason, Information Governance Manager	Renewal.

1. INTRODUCTION

London Borough of Barking and Dagenham Council (LBBd) is required by the Lord Chancellor's Code of Practice on the Management of Records issued under Section 46 of the Freedom of Information Act 2000 to have and to implement a records retention and disposal schedule. This policy sets out details about all the records created and kept by the Council, or our commissioned partners, in such a way that decisions can be made about identifying and disposing of them on a routine and timely basis.

The retention and disposal schedule has been produced in consultation with departments primarily responsible for the business activities and key stakeholders in the processes to establish the legal and regulatory requirements, and business needs on which record retention and disposal policies are based.

The purpose of this **records management** policy is to ensure that records are kept in such a way that: -

- They can readily be retrieved when required
- It reduces the risks associated with litigation by making it easier to identify and retrieve relevant information
- It ensures accountability and provides an audit trail
- It allows records to be identified for historical and research purposes
- It protects information which is a valuable resource
- Create and capture authentic and reliable records which provide evidence of the Council's activities and decisions and which demonstrate its accountability and can be readily retrieved when required;
- Secure, maintain and preserve those records for as long as they are required (and in accordance with the Council's retention schedule) to provide access to them as necessary to support the Council's operations and fulfil its obligations under the General Data Protection Regulation 2016/279 and Freedom of Information Act 2000;
- Destroy records that are no longer required, having regard to statutory record-keeping requirements, thus promoting the efficient use of physical and electronic storage space.

2. SCOPE

This policy together with the retention schedule (Annex A) 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 the Council's actions, transactions, decisions and agreements.

The retention requirements listed here 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.

Divergence from the retention and disposal schedule may be appropriate in certain circumstances. Any divergence requires liaison and authorisation with the Information Governance Manager.

3. RESPONSIBILITIES

All staff who create, receive, or use records will have some responsibility for their management. Specific responsibilities are outlined below.

Management Board

The Management Board will comprise of representatives of each directorate and will be chaired by a designated officer. The Board will be responsible for:

- Approval of a corporate framework for the management of records within the Council;

- Promotion of a culture and practice of good records management throughout the Council;
- Ensuring that sufficient resources are available for the maintenance of the records management function;
- Ensuring compliance with the Freedom of Information Act, 2000, and other legislation appertaining to the management of, and access to, records;
- Promoting the value of historic records and ensuring their preservation as a corporate memory.

Managers and Team Leaders

Managers and team leaders are responsible for ensuring:-

- Record retention policies are implemented in their unit/team, supported by written procedures.
- Record keeping systems and arrangement of records enable identification of records due for disposal.
- Records due for disposal are routinely identified and reviewed to ensure they are no longer required.
- Divergence from the Records Retention and Disposal Policy is authorised by and the Information Governance Manager is notified of changes.
- Staff dispose of records only in accordance with policies set out in this document.
- Records are disposed of appropriately considering their sensitivity, security classification and the media and format(s) in which they are held in line.
- ICT Equipment and storage media are disposed of securely ensuring all records, data and information are removed in such a way that it is not recoverable.
- Records of potential historic interest or research value are identified and transferred with agreement to the Council's Archive Service.
- Evidence of the disposal process is kept.

ALL STAFF

Everyone is responsible for:-

- Following procedures and guidance for managing, retaining and disposing of records.
- Only disposing of records in accordance with the requirements outlined in this policy (if authorised to do so).
- Ensuring that any proposed divergence from records retention and disposal policies is authorised by the Information Governance Manager.

4. LEGAL REQUIREMENTS

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, LBBB Directorates have been consulted to determine the retention requirements that best suit each business activity.

Some overarching legislation requires that records be kept for a certain amount of time and applies to all Directorates and sections of the Council. These include:-

- The General Data Protection Regulations 2016/279
- The Freedom of Information Act 2000
- The Local Government Act 2000
- The Independent Inquiry into Child Sex Abuse
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The Independent Inquiry into Child Sexual Abuse (IICSA)

On Thursday 12 March 2015 the Home Secretary established a statutory inquiry under the 2005 Inquiries Act with the aim of conducting an overarching national review of the extent to which institutions in England and Wales have discharged their duty of care to protect children against sexual abuse.

The Inquiry is independent of government. It is supported by a Panel, Victims and Survivors Consultative Panel, and other expert advisers. The Inquiry will cover England and Wales. A wide range of public institutions will be investigated including local authorities, the police, the armed forces, schools, hospitals, children's homes, churches, and charities.

On 2nd July 2015 Justice Goddard wrote to every Chief Executive of Local Authorities in England and Wales, requesting that the organisations:

'retain any and all documents; correspondence; notes; emails and all other Information, however held, which contain or may contain content pertaining directly or indirectly to the sexual abuse of children or to child protection and care. For the purposes of this appendix, the word 'children' relates to any person under the age of 18'

We must not destroy, and must make available for inspection, all reports, reviews, briefings, minutes, notes, and correspondence in relation to

- allegations (substantiated or not) of individuals, organisations, institutions, public bodies or otherwise who may have been involved in, or have knowledge of, child sexual abuse, or child sexual exploitation
- allegations (substantiated or not) of individuals having engaged in sexual activity with, or having a sexual interest in, children
- institutional failures to protect children from sexual abuse or other exploitation
- statutory responsibilities for the care of children in public or private care
- the development of policy on child protection
- the development of legislation on child protection
- the determination of the award of Honours to persons who are now demonstrated to have had a sexual interest in children or are suspected of having had such an interest.

All these document types - in whatever format - must be 'retained pending further requests from the Inquiry'

Although the Councils' records retention schedules are very clear on the destruction dates of files, the instructions received by the Inquiry constitute a legal hold as defined by section 12.3 of the code of practice issued under Section 46 of the Freedom of Information Act. As such all records that fall within the above categories are retained, and not destroyed, until we are directed otherwise.

For any advice on clarification on whether records can be destroyed or are covered by the Inquiry retention hold, consult the Information Governance Manager.

5. BENEFITS OF HAVING A RETENTION AND DISPOSAL POLICY

The benefits to the Council in having a retention and disposal policy are to:-

- Ensure records are only kept for as long as there is a business need
- Reduce the volumes and costs of both paper and electronic records storage
- Prevent duplicates of documents being maintained
- Make it easier to find and share information
- Improve the working environment by reducing storage space
- Comply with specific legal and regulatory requirements including the Freedom of Information Act 2000 (including the Code of Practice on records management made under s.46), the General Data Protection Regulations 2016/279 and the Public Records Acts 1958 and 1967
- Support accountability through the retention of records (including the availability or archival records of genuine historical value)
- Demonstrate that the disposal of information assets has been carried out according to an agreed policy
- Avoid the costs and potential liabilities of retaining information the Council does not really need and which is likely to result in legal discovery actions and possible involvement in third party disputes.

6. STATEMENT OF RECORDS MANAGEMENT POLICY

The Council will implement and review procedures to ensure that reliable and usable records are created, maintained and made accessible for as long as they are required to support the business of the Council. This will be enabled by procedures to ensure that:

- Records are managed in accordance with current policies and procedures.
- Records are managed in accordance with current legislation:
 - General Data Protection Regulation 2016/279;
 - Environmental Information Regulations 2004;
 - Freedom of Information Act 2000;
 - Human Rights Act 1998
 - Local Government (Access to Information) Act 1985;

- Local Government Act 1972;
 - Public Records Act 1958 and 1967;
 - Regulation of Investigatory Powers Act 2000;
 - Telecommunications (lawful business practices) and (interception of communications) Regulations 2000.
- Records management practices are compatible with corporate policies:
 - The Council Core Strategy 2010;
 - LBBB Environmental Policy
 - Freedom of Information Policy;
 - Data Protection Policy
 - Records are accessible to officers to support them in making informed and proper judgments in the course of their work;
 - Records are accessible to the public in accordance with the Council's Publications Scheme and in accordance with the requirements of the Freedom of Information Act, 2000;
 - Records are kept securely and protected from accidental or deliberate loss or destruction;
 - Records are maintained in a secure environment with good conditions for their physical preservation and storage and which allows access as needed;
 - Records are kept in accordance with the schedules drawn up for their retention, having regard to legal requirements and recognised good practice, and are safely disposed of after the expiry of their retention period in accordance with legal and regulatory obligations;
 - All staff are aware of their obligations in respect of the filing, retention, and disposal of records.

7. OWNERSHIP

All records created and received by the Council are the property of the Council, not by any department or individual, and must not be used for any activity or purpose other than the Council's official business.

8. NON-COMPLIANCE

The Council has an established staff Disciplinary Code of Conduct. Any breach of policies contained within this document or its associated documents will be dealt with in accordance with those procedures.

9. RETENTION SCHEDULES

A set of retention schedules, following the *Retention Guidelines for Local Government* drawn up by the Records Management Society will be maintained. Annex A attached.

10. TRAINING AND AWARENESS

The Council recognises the importance of good records management and will implement a programme of training to ensure that all officers are aware of their duties and responsibilities in this respect.

11. MANAGEMENT AND REVIEW

Compliance with this policy will be monitored by the Information Governance Manager in collaboration with directorate representatives and will present reports to the Management Board at agreed intervals.

This policy will be reviewed at intervals of no less than three years, or exceptionally, if required by changes in Freedom of Information, Data Protection or other relevant legislation.

Annex A

RECORD RETENTION SCHEDULE

This section is intended to provide a quick reference guide to records retention periods. However, it does not give the full details of retention requirements, triggers, disposal actions and codes of practice, nor the authorities requiring or guiding retention periods. For full details please consult the Retention and Disposal Policies section of this schedule. *Annex B*

RECORD RETENTION SCHEDULE AT A GLANCE

Adults’ Care and Support	
Accommodation Support	6 years after no longer in receipt of service
Case Management	6 years after no longer in receipt of services
Community Living and Disabilities Support	6 years after no longer in receipt of service
Mental Health Support	20 years after end of treatment or service provision or 8 years after death
Safeguarding and Vulnerable Adult Protection and Support	6 years after no longer in receipt of service
Children’s Care and Support and Education	
Adoptions Management	100 years from date of adoption order
Case Management	Until service user’s 25th birthday
Children in Need and Education Support	Until service user’s 25th birthday
Foster Carer Supervision and	3 years from decision or withdrawal

Support (Unsuccessful or withdrawn applicants)	
Looked After Children	Until service user's 75th birthday
Residential Homes Management and Administration	15 years from date created
Safeguarding	Until service user's 25th birthday
SEN Assessment and Support	Until service user's 31st birthday
Targeted Intervention and Support	Until service user's 25th birthday
Youth Offender Support and Supervision	Until service user's 25th birthday
Community Safety	
Animal Health and Welfare Inspection and Monitoring	6 years after site closure, change of use or keep until LBBB no longer responsible for function
Civil Emergency Planning and Response	3 years after date created
Complaint Investigation and Enforcement	6 years after resolution, end of enforcement action or sentence period
Fair Trading Inspection and Monitoring	6 years after site closure, change of use or until LBBB no longer responsible for function
Safety Registration and Licensing	6 years after expiry of license or registration
Sample and Product Testing	6 years after date created
Democracy	
Civic Offices Support	6 years after date created
Decision Making	6 years after date created
Electoral System Support	1 years after date created
Register of electors	14 years after date created
Member Support	1 year after date created
Education	
Admissions and Transfers Processing	1 year after end of academic year
Appeals Administration Admissions	1 year after current academic year

Exclusions	5 years after end of academic year
School Capacity Planning	6 years after review, decision not to proceed or completion of implementation
Environmental Protection	
Advice Provision	6 years after date created
Complaint Investigation and Enforcement	6 years after resolution, end of enforcement action or sentence period
Historic Enforcement Protection and Improvement	Keep until LBBB no longer responsible for function
Natural Environment Protection and Improvement	Keep until LBBB no longer responsible for function

Finance	
Accounting and Reporting	6 years after end of financial year
Banking Administration	6 years after end of financial year
Budgets Management	6 years after end of financial year
Charities and Trusts Administration (Administrative records)	6 years after end of financial year
Charities and Trusts Administration (Deeds and instruments)	Transfer after wound-up
Financial Planning	6 years after end of planning period or strategy superseded
External Funding Acquisition	Minimum 6 years after end of funding period or as required by funding body
Grant Funding Administration	Minimum 6 years after end of funding period or as required by funding body
Income Processing	6 years after end of financial year
Loans and Leasing Administration	6 years after settlement or end of lease
Payroll Administration	6 years after end of financial year
Pension Fund Management	6 years after end of scheme
Pension Scheme Administration	6 years after death of last known beneficiary of member
Procurement (Unsuccessful tenders)	1 year after contract awarded
Procurement (Awarded contracts)	6/12/15 years after end of contract
Purchasing and Payment Processing	6 years after end of financial year
Taxes Management	6 years after end of tax year

Health and Safety	
Accident and Incident Reporting and Investigation (Adults)	3 years after investigation
Accident and Incident Reporting and Investigation (Children)	21 years after date of birth
Advice Provision	6 years after date created
Hazardous Substances Management	100 years after date created

Health Surveillance and Exposure Monitoring (identifiable individuals)	Until 75th birthday or 40 years after last medical assessment (50 years if exposed to ionising radiation)
Health Assessment	6 years after last assessment
Pre-employment health screening	1 year after date created
Risk Assessment	6 years after assessment superseded
Human Resources	
Attendance and Time Recording	2 years after date created
Employment Contracts Management	6 years after end of LBBB employment
Disciplinary and Grievance Procedures Administration	6 years after end of LBBB employment
Disclosure and Barring Service Checking (DBS reports)	6 months after receipt
Disclosure and Barring Service Checking (Records of checking)	6 years after termination of relevant contract
Industrial Relations Management	10 years after date created or end of agreement
Performance Monitoring and Review	6 years after date created
Recruitment and Termination Administration (Unsuccessful candidates)	1 year after recruitment decision
Recruitment and Termination Administration (Successful candidates)	6 years after end of LBBB employment
Sickness Absence Management	6 years after end of LBBB employment
Leave Administration	3 years after end of financial year
Staff Training (Individual training records)	6 years after end of LBBB employment
Training Provision (Course administration)	6 years after date created
Training Provision (Course content)	6 years after superseded or course no longer provided
Information and Communication Technology (ICT)	
ICT Service Design	6 years after date created
ICT Service Operation	1 year after date created
ICT Service Transition	6 years after date created
Information Management	
CCTV Recording	31 days after recording
Information Access Management	5 years after date created
Information Security Management	3 years after date created
Records Storage Management	Lifetime of organisation
Voice Call Recording	6 months after recording
Leisure and Culture	
Collections Access Management	6 years after date created
Collection Acquisition (Surveys and unsuccessful bids)	6 years after decision not to acquire or unsuccessful bid
Collection Acquisition (Acquired items)	Lifetime of deposit

Collections and Stock Management	Lifetime of deposit or library stock item
Reader, Membership and Loans Administration	1 year after end of membership, account inactive or loan return
Management	
Business Planning	6 years after date created
Communications Management and Marketing	7 years after date created
Complaints Management (Service complaints)	6 years after resolution
Consultation and Engagement	6 years after date created
Events Management	6 years after event
Feedback Processing	2 years after date created
Performance Monitoring and Reporting	6 years after date created
Policy and Procedures Development	6 years after superseded
Research and Analysis (Raw data)	Out of date and/or no longer required
Research and Analysis (processed data, analysis and interpretation)	6 years after date created
Strategic Planning	6 years after superseded
Transformation and Change Management	6 years after date created
Physical Assets and Property	
Equipment Management	6 years after disposal of equipment
Facilities Management	1 year after date created
Land Access Agreements and Licensing	6 years after expiry of agreement or licence
Land and Premises Acquisition and Disposal	15 years after disposal of land or premises
Land Management	12 years after end of LBBD responsibility for site
Land Reclamation Scheme Management	15 years after end of LBBD responsibility for site
Premises Design and Construction Supervision	15 years after completion or after LBBD no longer responsible for premises, site or structure
Vehicle and Fleet Maintenance	6 years after disposal of vehicle
Planning and Development Control	
Complaint Investigation and Enforcement (Mineral excavation and waste deposit)	10 years after resolution, end of enforcement action or sentence period
Developer Contribution and Obligation Negotiation	6 years after funding period or lifetime of development
Land and Property Enquiry Processing	6 years after date created
Mineral and Waste Site Inspection and Monitoring	Keep until LBBD no longer responsible for function

Planning Application Processing	Keep until LBBB no longer responsible for function
Planning Consultation Processing	6 years after consultation period
Pre-planning Advice Provision	6 years after date created
Risk Management and Insurance Administration	
Audit	6 years after audit or investigation or legal action
Business Continuity Planning	6 years after superseded
Insurance Claims Administration	6 years after settlement or repudiation but not before claimant reaches age of 24
Insurance Claims Administration (Subsidence claims)	100 years after settlement or repudiation
Insurance Policy Administration (Liability)	40 years after end of policy
Insurance Policy Administration (Non-liability)	10 years after end of policy
Transport and Infrastructure	
Highway Asset Management	15 years after end of life of structure
Highway Adoption and Dedication	Keep until end of LBBB responsibility for function
Highway Maintenance	6 years after date created
Highway Scheme Delivery	15 years after completion or keep until LBBB no longer responsible for function
Passenger Transport Management	6 years after date created
Rights of Way	Keep until LBBB not responsible for function
Traffic Management	6 years after date created
Traffic Regulation	6 years after extinguishment or expiry of order

Records Retention and Disposal Policies

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.

Any divergence from policies contained in this schedule requires liaison and authorisation with the Information Governance Manager.

ADULT HEALTH and CARE		
ACCOMODATION SUPPORT		
Retention	Disposal	Authority
Retain records 6 years after no longer in receipt of accommodation services	Dispose	Based on a 6-year timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.5 and recommended by the DoH Guidance to Social Services
Scope: Placement planning, residential and nursing care, supported accommodation, and lodgings provision		
CASE MANAGEMENT		
Retention	Disposal	Authority
Retain records 6 years after no longer in receipt of services	Dispose	Based on a 6-year timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.5 and recommended by the DoH Guidance to Social Services

Scope: Management and administration of adult health and care cases including enquiry processing, referral, needs assessment, care and support planning, key information recording.

COMMUNITY LIVING AND DISABILITIES SUPPORT

Retention	Disposal	Authority
Retain records 6 years after no longer in receipt of community and disability services	Dispose	Based on a 6-year timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.5 and recommended by the DoH Guidance to Social Services
Scope: Collection of benefits, day care and meals, administration of personal allowances, housing needs and adaptation support, personal care, occupational therapy, learning disabilities, rehabilitation, provision of equipment and carer support excluding education support.		

MENTAL HEALTH SUPPORT

Retention	Disposal	Authority
Retain records 20 years after no longer in receipt of services, or 8 years after the patient's death if the patient died while receiving treatment	Dispose	NHS Records Management Code of Practice for Health and Social Care 2016
Scope: Mental health case records including psychological assessment records		

SAFEGUARDING AND VULNERABLE ADULT PROTECTION AND SUPPORT

Retention	Disposal	Authority
Retain records 6 years after no longer in receipt of protection and support services	Dispose	Based on a 6-year timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.5 and recommended by the DoH Guidance to Social Services
Scope: Safeguarding enquiries and protection planning, guardianship and receivership administration.		

CHILDREN and FAMILIES

ADOPTION MANAGEMENT

Retention	Disposal	Authority
Retain records for 100 years from date of adoption order	Dispose (See IICSA retention hold advice p.5)	Requirement to maintain 'Section 56 information' taken from The Disclosure of Adoption Information (Post-Commencement Adoptions) Regulations 2005.

Scope: The [guidance on adoption for local](#) authorities published by the DfE in 2014 specifies 'Section 56' information that is covered by the 100 year retention rule as being:

- Identifying information about the child, the birth parents, other birth relatives, adoptive parents and any other people involved in the adoption such as foster carers and professionals
- Background information including the child's birth and medical history, education, and development
- Information supplied by the birth parent and other birth relatives including photographs, and letters
- Information supplied by the adoptive parent(s) after the adoption
- Information supplied by any foster carer
- Information that the adopted person has asked to be kept, this would include their views on any contact
- A copy of the child's permanence record (CPR)
- The prospective adopters' report
- Written record of the proceedings of the adoption panel and the agency decision
- Any consent to placement and placement orders and any withdrawal of consent
- The Adoption Placement Report
- The Adoption Support Plan
- The Adoption Placement Plan
- Any other information the agency considers necessary to keep

In addition

- Care leaver support records

CASE MANAGEMENT

Retention	Disposal	Authority
Retain records until service user's 25 th birthday, (unless Looked After, SEN or Adopted – see other entries)	Dispose (See IICSA retention hold advice p.5)	Based on a 6-year timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.5 and recommended by the DoH Guidance to Social Services
<p>Scope: Management and administration of adult health and care cases, including: enquiry processing, referral, needs assessment, care and support planning, key information recording</p>		

CHILDREN IN NEED AND EDUCATION SUPPORT

Retention	Disposal	Authority
Retain records until service user's 25 th birthday, (unless Looked After, SEN or Adopted – see other entries)	Dispose (See IICSA retention hold advice p.5)	Based on a 6-year timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.5 and recommended by the DoH Guidance to Social Services
<p>Scope: Parent and family education support, childcare provision and monitoring, support of gifted and talented children, post-16 support, physical and sensory disability support, psychological and behavioural support and assessment</p>		

FOSTER CARER SUPERVISION AND SUPPORT

Retention	Disposal	Authority
Retain application and assessment records for unsuccessful applicants 3 years from application withdrawal or refusal Retain records of successful applicants 10 years end of last placement is terminated after carer ceases to provide care	Dispose (See IICSA retention hold advice p.5)	Foster Placement (Children) Regulations 1991 s.14 Fostering Services Regulations 2002 s.32
Scope: Foster carer enquiry, application and assessment records, case files and statutory register maintenance.		

LOOKED AFTER CHILDREN SUPPORT

Retention	Disposal	Authority
Retain records until service user's 75 th birthday	Dispose (See IICSA retention hold advice p.5)	Arrangement for the Placement of Children (General) Regulations 1991 s.9 and Care Planning, Placement and Case Review (England) Regulations 2010 s.50
<p>Scope: The Care Planning, Placement and Case Review (England) Regulations 2010 s.50 specifies (in s.49 – “Establishment of Records”) that the case records of a Looked After Child, retained until the child's 75th birthday, must include:</p> <ul style="list-style-type: none"> • care plan, including any changes made to the care plan and any subsequent plans • reports obtained under regulation 7 • any other document created or considered as part of any assessment of child's needs, or of any review of child's case any court order relating to child • details of any arrangements that have been made by the responsible authority with any other local authority or with an independent fostering agency under 		

regulation 26 and Schedule 5, or with a provider of social work services, under which any of the responsible authority's functions in relation to care are discharged by that local authority or independent fostering agency or provider of social work services

In addition

- Care leaver support records

RESIDENTIAL HOMES MANAGEMENT AND ADMINISTRATION

Retention	Disposal	Authority
Retain records 15 years from date created.	Dispose (See IICSA retention hold advice p.5)	Children's Home Regulations 1991 s.14 Fostering Services Regulations 2002 s.32
<p>Scope: Management and administration of children's residential homes including records and registers relating to multiple residents Including: records specified within schedule 3 of the regulations – Admission and discharge, accidents, administration of medicinal products, money and valuable deposited for safekeeping, disciplinary records and daily log of events. In addition, record of persons employed by or working at children's home, duty rotas, record of other persons resident at the home and accounts</p>		

SAFEGUARDING

Retention	Disposal	Authority
Retain records until service user's 25 th birthday, (unless Looked After, or Adopted – see other entries)	Dispose (See IICSA retention hold advice p.5)	Based on a 6-year timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.5 and recommended by the DoH Guidance to Social Services
<p>Scope: Child Protection administration, referrals and management, child sexual exploitation investigation, allegations and causes for concern about carers/adopters, medical arrangements, court case preparation and orders, liaison with police and other agencies</p>		

SEN Assessment and Support

Retention	Disposal	Authority
Retain records until end of academic year in which service user's 31 st birthday occurs	Dispose (See IICSA retention hold advice p.5)	Based on a 6-year timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.5 and

		recommended by the DoH Guidance to Social Services
Scope: Special Educational Needs (SEN) assessment and statementing including Education Health Plans (EHC) and education support		

TARGETED INTERVENTION AND SUPPORT

Retention	Disposal	Authority
Retain records until service user's 25 th birthday, (unless Looked After, SEN or Adopted – see other entries)	Dispose (See IICSA retention hold advice p.5)	Based on a 6-year timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.5 and recommended by the DoH Guidance to Social Services
Scope: Eligibility and assessment records, requests for support, consent, children missing education, intensive prevention		

SAFEGUARDING

Retention	Disposal	Authority
Retain records until service user's 25 th birthday	Dispose (See IICSA retention hold advice p.5)	Based on a 6-year timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.5 and recommended by the Youth Justice Board Guidance 2014
Scope: Young offender case management, bail and remand supervision, education, health, safeguarding assessment and intervention, and public protection assessment intensive supervision and surveillance, and restorative justice and reparation management, parent and carer support		

COMMUNITY SAFETY

ANIMAL HEALTH AND WELFARE INSPECTION AND MONITORING

Retention	Disposal	Authority
Retain records 6 years after closure or change of use of site or LBBD no longer responsible for function	Dispose Transfer to new authority	LBBD business need
Scope: Animal health and welfare inspection and monitoring Excluding complaint investigation and enforcement, and registration and licensing		

CIVIL EMERGENCY PLANNING AND RESPONSE

Retention	Disposal	Authority
Retain records 3 years after date created	Dispose	Based on a 3-year timescale in which an action can be brought in the case of a personal injury or property damage under simple contract under Limitation Act 1980 s.11
Scope: Emergency response planning, exercise planning and operation, incident response and recovery management, and review		

COMPLAINT INVESTIGATION AND ENFORCEMENT

Retention	Disposal	Authority
Retain records 10 years after resolution, end of enforcement action or sentence period	Dispose	UK Police Information Management Standards Criminal Procedure and Investigations Act 1996 (section 23(1)) Code of Practice
Scope: Complaint investigation, investigation operations, intelligence gathering, formal notification and prosecution, property and sample seizure		

FAIR TRADING INSPECTION AND MONITORING

Retention	Disposal	Authority
Retain records 6 years after closure or change of use of site or LBBB no longer responsible for function	Dispose Transfer to new authority	Based on a 6-year timescale in which an action can be brought in the case of tort under Limitation Act 1980 s.2
Scope: Fair trading monitoring and inspection Excluding, complaint investigation and enforcement, and registration and licensing		

SAFETY REGISTRATION AND LICENSING

Retention	Disposal	Authority
Retain records 6 years after revocation of licence or registration	Dispose	Based on a 6-year timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.5
Scope: Registration, licensing and safety certification of sites, sellers, animal movement licensing, animal trainer and exhibitor licensing, public weighbridge operators, sports ground licensing		

SAMPLE AND PRODUCT TESTING

Retention	Disposal	Authority
Retain records 6 years after date created	Dispose	LBBB business need based on maintaining records as contractual evidence based on Limitation Act 1980 s.14A
Scope: Testing and analysis of samples and products Including sample receipt, handling and storage, testing and analysis, testing methodologies, reports, sample return or disposal		

DEMOCRACY

CIVIC OFFICES SUPPORT

Retention	Disposal	Authority
Retain records 6 years after date created	Dispose	Local Government (Access to Information) Act 1985 s.50c
Scope: Provision of support to the Mayor in relation to their civic functions Including: Events arrangement, event attendance administration, civic gift giving and receiving.		

DECISION MAKING

Retention	Disposal	Authority
Retain records 6 years after date created	Transfer signed master copies to SIRO Destroy duplicate and reference copies	Local Government (Access to Information) Act 1985 s.50c The Local Authorities (Referendums)(Petitions)(England) Regulations 2011 s.12
Scope: Management, administration and support for the democratic decision making process including administration and support for Council and Cabinet, administration, support for scrutiny and overview function, administration of submission of reports and responses, administration of membership of committees and working groups, recording of appointments to external bodies and petition processing Excluding support for individual Members		

ELECTORAL SYSTEM SUPPORT

Retention	Disposal	Authority
Retain records 1 year after date created Register of Electors -retain records electronically for 14 years after date created	Dispose	Based on a 1 year timescale in which an action can be brought under the Representation of the People Act 1983 s.76
Scope: Provision of support for the LBBB electoral system including provision of		

electoral process advice, appointment of returning officers and verification of electoral expenses
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MEMBER SUPPORT

Retention	Disposal	Authority
Retain records 1 year after date created	Dispose	LBBB business need
Scope: Provision of support to Members Including processing of member requests for information, advice and research, maintenance of member information		

EDUCATION

ADMISSIONS AND TRANSFERS PROCESSING

Retention	Disposal	Authority
Retain records 6 years after end of academic year	Dispose	Based on a 6-year timescale in which an action can be brought in the case of tort under Limitation Act 1980 s.2
Scope: Primary, secondary school admissions and transfers excluding appeals processing		

APPEALS ADMINISTRATION

Retention	Disposal	Authority
Admission Appeals - Retain records for current academic year plus one year Exclusion Appeals – 5 years	Dispose	Based on a 6-year timescale in which an action can be brought in the case of tort under Limitation Act 1980 s.2
Scope: Administration of appeals panels and council case preparation including school exclusions, admissions, Statementing and home-school transport appeals Excluding advocacy and parental support relating to appeals processes		

SCHOOL CAPACITY PLANNING

Retention	Disposal	Authority
Retain records 6 years after date of end of review, decision not to proceed or	Dispose	LBBB business need

completion of implementation		
Scope: Review of school places including development and submission of proposals for expansion or reduction in capacity of local authority maintained schools and changes to school catchment areas		

ENVIRONMENT		
ADVICE PROVISION		
Retention	Disposal	Authority
Retain records 6 years after date created	Dispose	Based on a 6-year period in which an action can be brought in the case of negligence under Limitation Act 1980 s.14A
Scope: Provision of environmental management, protection and improvement advice		

COMPLAINT INVESTIGATION AND ENFORCEMENT		
Retention	Disposal	Authority
Retain records 10 years after resolution, end of enforcement action or sentence period	Dispose	LBBB business need based on UK Police Information Management Standards
Scope: Complaint investigation, informal resolution and enforcement action		

HISTORIC ENVIRONMENT PROTECTION AND IMPROVEMENT		
Retention	Disposal	Authority
Retain records until LBBB no longer responsible for function	Transfer to new authority	LBBB business need
Scope: Planning, monitoring and review, protection and improvement scheme management, surveying, monitoring and analysis, and historic environment records maintenance Excluding planning application consultation		

NATURAL ENVIRONMENT PROTECTION AND IMPROVEMENT		
Retention	Disposal	Authority
Retain records until LBBB no longer responsible for	Transfer to new authority	LBBB business need

function		
Scope: Protection and improvement scheme management and monitoring Environmental consents, strategic planning, surveying, monitoring and analysis including geological and landscape sites, species and habitat Excluding planning application consultation		

FINANCE

ACCOUNTING AND REPORTING

Retention	Disposal	Authority
Retain records 6 years after the end of the financial year in which records created	Dispose	Companies Act 2006 and Value Added Tax Act 1994 s.6 and Finance Act 1998 Sch.18 pt. 3
Scope: Statutory, corporate and management accounts, abstracts, ledgers, budgetary control records		

BANKING ADMINISTRATION

Retention	Disposal	Authority
Retain records 6 years after the end of the financial year in which records created	Dispose	Companies Act 2006 and Value Added Tax Act 1994 s.6 and Finance Act 1998 Sch.18 pt. 3
Scope: Bank accounts administration including instruction and payments, bank deposits, account monitoring and reconciliation		

BUDGETS MANAGEMENT

Retention	Disposal	Authority
Retain records 6 years after the end of the financial year in which records created	Dispose	Companies Act 2006 and Value Added Tax Act 1994 s.6 and Finance Act 1998 Sch.18 pt. 3
Scope: Management of capital and revenue budgets		

CHARITIES AND TRUST ADMINISTRATION

Retention	Disposal	Authority
Retain administrative records 6 years after the end of the financial year in which records created	Dispose	LBBB Business need based on 6-year period for which annual reports and all supporting documents must be retained under Charities Act 2011 s.165
Retain trust deeds and charity and endowment instruments until charity, trust or endowment wound up	Transfer records to Archives Service	LBBB business need
Scope: Administration of charity, trust and endowment for which LBBB acts as trustee including annual reports, deeds, instruments, winding-up records		

BUDGETS MANAGEMENT

Retention	Disposal	Authority
Retain records 6 years after the end of the financial year in which records created	Dispose	Companies Act 2006 and Value Added Tax Act 1994 s.6 and Finance Act 1998 Sch.18 pt. 3
Scope: Management of capital and revenue budgets		

EXTERNAL FUNDING ACQUISITION

Retention	Disposal	Authority
Retain records 6 years after the end of the funding period unless otherwise specified by external funding body	Dispose	Funding body requirements
Scope: Identification of funding opportunities and resources, development and submission of bids, management of funding resources, monitoring and reporting of outcomes to funding body Excluding grant funding administration		

FINANCIAL PLANNING

Retention	Disposal	Authority
Retain records 6 years after the end of the planning period or strategy superseded	Dispose	Companies Act 2006 and Value Added Tax Act 1994 s.6 and Finance Act 1998 Sch.18 pt. 3
Scope: Strategic medium and long term financial planning		

GRANT FUNDING ADMINISTRATION

Retention	Disposal	Authority
Retain records minimum 6 years after the end of funding or monitoring period or period specified by funding body	Dispose	LBBB Business need or funding body requirements
Scope: Processing and assessment of applications for grant funding, administration of funding payments, financial and outcome monitoring and reporting		

INCOME PROCESSING

Retention	Disposal	Authority
Retain records 6 years after the end of the financial year in which records created	Dispose	Companies Act 2006 and Value Added Tax Act 1994 s.6 and Finance Act 1998 Sch.18 pt. 3
Scope: Processing income received for supply of goods and services, posting slips, tabulations, income records, receipt books, debtor accounts, cash books, till rolls		

LOANS AND LEASING ADMINISTRATION

Retention	Disposal	Authority
Retain records 6 years after end lease period or settlement of loan	Dispose	LBBB business need

Scope: Processing of staff loan and leasing applications, administration of loans, repayments and leasing

PAYROLL ADMINISTRATION

Retention	Disposal	Authority
Retain records 6 years after the end of the financial year in which records created	Dispose	Taxes Management Act 1970 s.34
Scope: Transactional HR records including expenses and allowances claims, changes to pay, increments, loss of earnings, statutory and non-statutory payments and deductions, additional hours claims redundancy payments, income tax and national insurance records		

PENSION FUND MANAGEMENT

Retention	Disposal	Authority
Retain records 6 years after the end of the scheme	Dispose	The Retirement Benefits Schemes (Information Powers) Regulations 1995 s.15
Scope: LBBB pension fund management records including fund management strategy, policy and guidance influencing decisions Excluding accounting and reporting		

PENSION SCHEME ADMINISTRATION

Retention	Disposal	Authority
Retain records 6 years after death of last known beneficiary of member	Dispose	The Retirement Benefits Schemes (Information Powers) Regulations 1995 s.15
Scope: Records of member and employer pension contributions, member notifications administration of pension benefit payments to scheme members, repayment of contributions to members withdrawing from scheme including copies of legislation, regulation, guidance notices, policies affecting contributions and payments (Note: documents may that may not be readily available from other sources in the long-term)		

PROCUREMENT

Retention	Disposal	Authority
<p>Retain unsuccessful tenders 1 year after contract award decision</p> <p>Retain awarded contract records 6 years (signed – ‘simple contracts’) 12 years (under seal) 15 years (conveyancing) after end of contract, substantial completion, or end of overage or clawback period as applicable</p>	Dispose	<p>Retention of unsuccessful tenders – LBBB business need</p> <p>The authority for awarded contracts depends on the nature or value of contract Limitation Act 1980 s.5 or Limitation Act 1980 s.8 or Limitation Act 1980 s.14B</p>
<p>Scope: Pre-tender planning, tender process, contract award and contract management including pre-qualification questionnaires, requests for information, invitations to tender, tender evaluation, tender negotiation, supplier approval, bids and correspondence</p>		

PURCHASING AND PAYMENT PROCESSING

Retention	Disposal	Authority
Retain records 6 years after the end of the financial year in which records created	Dispose	Companies Act 2006 and Value Added Tax Act 1994 s.6 and Finance Act 1998 Sch.18 pt. 3
<p>Scope: Orders, credit notes, creditor invoices, delivery notes, payment records, records of advances</p>		

TAXES MANAGEMENT

Retention	Disposal	Authority
Retain records 6 years after the end of the tax year in which records	Dispose	Taxes Management Act 1970 s.34

relate		
Scope: Payment of collected taxes and National Insurance contributions to H.M. Revenue and Customs and claims and negotiation of refunds for e.g. overpayment Excluding transactional HR records		

HEALTH AND SAFETY

ACCIDENT AND INCIDENT REPORTING AND INVESTIGATION (ADULTS)

Retention	Disposal	Authority
Retain records 3 years after the end of the investigation	Dispose	Social Security (Claims and Payments) Regulations 1979, Reg. 25(3) Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995, Reg. 7.

Scope: Reporting and investigation of accidents or incidents, accidents, violent or aggressive conduct involving adults

ACCIDENT AND INCIDENT REPORTING AND INVESTIGATION (CHILDREN)

Retention	Disposal	Authority
Retain records 21 years after date of birth	Dispose	Social Security (Claims and Payments) Regulations 1979, Reg. 25(3) Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995, Reg. 7.

Scope: Reporting and investigation of accidents or incidents, accidents, violent or aggressive conduct involving children

ADVICE PROVISION

Retention	Disposal	Authority
Retain records 6 years after date created	Dispose	Based on a 6-year period in which an action can be

		brought in the case of negligence under Limitation Act 1980 s.14A
Scope: Provision of health and safety advice and support		

HAZARDOUS SUBSTANCES CONTROL

Retention	Disposal	Authority
Retain records 100 years after date created Retain records until disposal or demolition of affected premises or end of operations involving hazardous substances	Dispose Transfer copy to new owner of premises at disposal	Based on a period in which an action can be brought in the case of negligence under Limitation Act 1980 s.14A and Control of Substances Hazardous to Health Regulations 2002 Reg. 10 (5) Control of Lead at Work Regulations 2002 Reg.10, Control of Asbestos Regulations 2012 Reg.22 Ionising Radiations Regulations 1999 Reg. 24

Scope: Surveying, testing, identification, monitoring, risk assessment, management plans, records of control measures plans of work, licenses, notifications of works and remediation or demolition works including work operations and processes involving hazardous substances Excluding individual health surveillance and exposure monitoring

HEALTH SURVEILLANCE AND EXPOSURE MONITORING

Retention	Disposal	Authority
Retain identifiable individual's records until 75th birthday or 40 years after last medical assessment or exposure monitoring period (50 years if working with or exposed to ionising radiation)	Dispose Note: Should LBBD cease to exist Monitoring records should be provided to Health and Safety Executive (HSE)	Control of Substances Hazardous to Health Regulations 2002 Reg. 10 (5) Control of Lead at Work Regulations 2002 Reg.10, Control of Asbestos Regulations 2012 Reg.22 Ionising Radiations Regulations 1999 Reg. 24

Scope: Health and exposure monitoring of employees (identifiable individuals) working with or exposed to substances hazardous to health

HEALTH ASSESSMENT

Retention	Disposal	Authority
Retain records 6 years after last assessment	Dispose	Based on a 6-year period in which an action can be brought in the case of negligence under Limitation Act 1980 s.14A
Scope: Manager referred and self-referred employee health assessment records		

PRE-EMPLOYMENT HEALTH SCREENING

Retention	Disposal	Authority
Retain records 1 year after date created	Dispose	LBBB business need
Scope: Pre-employment health screening assessment		

RISK ASSESSMENT

Retention	Disposal	Authority
Retain records 6 years after assessment has been superseded	Dispose	Based on a 6-year period in which an action can be brought in the case of negligence under Limitation Act 1980 s.14A
Scope: Identification, assessment of, and planning to mitigate risks including operational activities, individual or groups of employees, service users, first aid, machinery and equipment, premises and plant, service users and health and safety audits Excluding hazardous substances		

HUMAN RESOURCES

ATTENDANCE AND TIME RECORDING

Retention	Disposal	Authority
Retain records 2 years after date created	Dispose (see IICSA retention hold advice p.5)	Working Time Regulations 1998, Road Transport (Working Time) Regulations 2005 Reg.11
Scope: Timesheets, drivers log cards		

EMPLOYMENT CONTRACTS MANAGEMENT

Retention	Disposal	Authority
Retain records 6 years after end of LBBD employment	Dispose (see IICSA retention hold advice p.5)	Based on a 6-year timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.14A
Scope: Individual employees' terms and condition of employment, job description, personal specification, pay grade, change of role and record of changes to individuals' employment contracts		

DISCIPLINARY AND GRIEVANCE PROCEDURES ADMINISTRATION

Retention	Disposal	Authority
Retain records 6 years after end of LBBD employment	Dispose (see IICSA retention hold advice p.5)	Based on a 6-year timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.14A
Scope: Administration of formal disciplinary and grievance processes including tribunal cases		

DISCLOSURE AND BARRING SERVICE CHECKING

Retention	Disposal	Authority
Retain disclosure reports 6 months after receipt Retain records of checking 6 years after termination of relevant contract	Dispose (see IICSA retention hold advice p.5)	Home Office Code of Practice for Registered Persons and other recipients of Disclosure Information The Information Commissioner's Office, Employment Practices Code (data protection) Limitation Act 1980 s.5
Scope: Record of routine Disclosure and Barring Service (DBS) (formerly Criminal Records Bureau – CRB) checks having been made during employment where required by nature of job role		

INDUSTRIAL RELATIONS MANAGEMENT

Retention	Disposal	Authority
Retain records 10 years after date created or agreement ceases to be effective	Dispose	CIPD Recommendation
Scope: Management of relationship between LBBB, trade unions or employee representative organisations		

PERFORMANCE MONITORING AND REVIEW

Retention	Disposal	Authority
Retain records 6 years after end of LBBB employment	Dispose (see IICSA retention hold advice p.5)	Based on a 6 year timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.5
Scope: Individual target setting to meet business plan requirements, mid-year and end of year formal review of performance against targets		

RECRUITMENT AND TERMINATION ADMINISTRATION

Retention	Disposal	Authority
Retain records of Unsuccessful applicants 1 year after recruitment decision. Retain records of successful applicants (employees) 6 years after end of LBBD employment	Dispose (see IICSA retention hold advice p.5)	Based on a 6 year timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.5 National Archives Guidance
<p>Scope: Recruitment planning, application processing and assessment, interview administration and candidate assessment, pre-employment vetting and checks, contract offer administration, planning and management of employee probationary period and administration of employment termination processes excluding transactional HR payments administration</p>		

SICKNESS ABSENCE MANAGEMENT

Retention	Disposal	Authority
Retain records 6 years after end of LBBD employment	Dispose (see IICSA retention hold advice p.5)	Based on a 6-year timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.5
<p>Scope: Formal sickness absence management processes including sickness absence records, self-certification, fit notes, occupational health referrals and reports, return to work documentation, formal absence process records</p>		

RECRUITMENT AND TERMINATION ADMINISTRATION

Retention	Disposal	Authority
Retain records of unsuccessful applicants 1 year after recruitment decision Retain records of successful applicants (employees) 6 years after end of LBBD employment	Dispose (see IICSA retention hold advice p.5)	Based on a 6-year timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.5 National Archives Guidance

Scope: Recruitment planning, application processing and assessment, interview administration and candidate assessment, pre-employment vetting and checks, contract offer administration, planning and management of employee probationary period and administration of employment termination processes excluding transactional HR payments administration

LEAVE ADMINISTRATION

Retention	Disposal	Authority
Retain records 3 years after end of financial year in which records created	Dispose (see IICSA retention hold advice p.5)	Statutory Sick Pay (General) Regulations 1982 reg.13 Statutory Maternity Pay (General) Regulations 1986 reg.26 Statutory Paternity and Statutory Adoption Pay (Administration) Regulations 2002 reg.9
Scope: Maternity and paternity leave and non-statutory leave e.g. contractual leave and unpaid leave		

STAFF TRAINING (INDIVIDUAL TRAINING RECORDS)

Retention	Disposal	Authority
Retain 6 years after end of LBBD employment	Dispose	CIPD Guidance
Scope: Training and development records relating to attendance and achievement of individual employees, excluding records of training for work with hazardous substances		

TRAINING PROVISION

Retention	Disposal	Authority
Retain course administration records 6 years after date created Retain course content and supporting materials until superseded or course no longer provided	Dispose	LBBD business need
Scope: Development and provision of training and courses including e-learning courses, course content and supporting materials, records of completion and		

attendance, excluding individual staff training records

INFORMATION AND COMMUNICATIONS TECHNOLOGY (ICT)

ICT SERVICE DESIGN

Retention	Disposal	Authority
Retain records 6 years after date created	Dispose	Based on a 6-year timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.5
Scope: ICT architecture management, capacity and availability management, design coordination, service catalogue maintenance		

ICT SERVICE OPERATION

Retention	Disposal	Authority
Retain records 1 year after date created	Dispose	LBBB business need
Scope: ICT systems access management, application management, event and incident management, operations control, problem management, request fulfilment, technical management		

ICT SERVICE TRANSITION

Retention	Disposal	Authority
Retain records 6 years after date created	Dispose	Based on a 6-year timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.5
Scope: Application development, change evaluation, release and deployment management, service validation and testing, service asset and configuration management, transition planning and support		

INFORMATION MANGEMENT

CCTV RECORDING

Retention	Disposal	Authority
Retain recordings for 31 days after recording	Dispose	Home Office National CCTV Strategy report 2007
Scope: CCTV recordings from LBBB owned, operated or commissioned cameras or surveillance equipment		

INFORMATION ACCESS MANAGEMENT

Retention	Disposal	Authority
Retain recordings for 6 years after date created	Dispose	LBBB business need based on National Archives Guidance
Scope: Information access request processing, data publication re-use and licensing		

INFORMATION SECURITY MANAGEMENT

Retention	Disposal	Authority
Retain recordings for 3 years after date created	Dispose	LBBB business need based on Computer Misuse Act 1990 s.11
Scope: Incident response and investigation, compliance audit		

RECORDS STORAGE MANAGEMENT

Retention	Disposal	Authority
Retain records for lifetime of organisation	Transfer to new authority	LBBB business need based on Freedom of Information Act s.46 Code of Practice
Scope: Records transfer processing, retrieval, disposal, excluding equipment and premises		

VOICE CALL RECORDING

Retention	Disposal	Authority
Retain 6 months after	Dispose	LBBB business need based

recording		on Financial Services Authority Telephone Recording: recording of voice conversations and electronic communications, Policy statement 08/1
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Scope: Recordings of content of telephone calls

LEISURE AND CULTURE

COLLECTIONS ACCESS MANAGEMENT

Retention	Disposal	Authority
Retain records 6 years after date created	Dispose	LBBB business need

Scope: Administration public access to library, museum and archive collections and resources, provision of outreach services, research services, excluding member and reader administration, excluding reader and membership administration and library loans administration

COLLECTION ACQUISITION

Retention	Disposal	Authority
Retain survey and unsuccessful bid records 6 years after decision not to acquire or bid outcome	Dispose	LBBB business need
Retain acquisition records during lifetime of deposit or ownership	Transfer records to new owner or depositor	

Scope: Surveying, assessment and acquisition of archive, museum and art items or collections, legal transfer of ownership and loan agreements, excluding financial transaction records.

COLLECTIONS AND STOCK MANAGEMENT

Retention	Disposal	Authority
Retain records until disposal of item or collection	Return to depositor or transfer to new owner or responsible body	LBBB business need
Retain until disposal of library stock item	Dispose	

Scope: Archive, artwork and museum collection cataloguing, conservation, restoration, display, loan, de-accessioning and disposal records and library stock

management records

READER, MEMBERSHIP, AND LOANS ADMINISTRATION

Retention	Disposal	Authority
Retain records 1 years after end of membership, account inactive or loan returned	Dispose	LBBD business need
Scope: Administration of library membership, archive service reader cards, library loans and requests		

MANAGEMENT

BUSINESS PLANNING

Retention	Disposal	Authority
Retain records 6 years after date created Working papers and drafts to be retained for 1 year	Dispose	LBBB business need
<p>Scope: Business planning to achieve operational service delivery priorities based on corporate priority outcomes, and management of LBBB's relationships with and planning of joint and 'joined up' service delivery with other local authorities, partnership, private and third sector (voluntary) organisations including joint service delivery planning, monitoring, and review</p>		

COMMUNICATIONS MANAGEMENT AND MARKETING

Retention	Disposal	Authority
Retain records 6 years after date created	Dispose	LBBB business need based on National Archives Guidance
<p>Scope: Management of the council's engagement with both its external and internal audience including media monitoring and media relations management, marketing, excluding consultation and engagement, events management</p>		

COMPLAINTS MANAGEMENT

Retention	Disposal	Authority
Retain records 6 years after date complaint resolution	Dispose	Based on a 6-year timescale in which an action can be brought in the case of tort under Limitation Act 1980 s.2
<p>Scope: Processing and investigation of, and response to complaints against LBBB concerning decision making, service provision or staff, including statutory, ombudsman, and non-statutory complaints processes and legal defence case preparation</p>		

CONSULTATION AND ENGAGEMENT

Retention	Disposal	Authority
Retain records 6 years after date created	Dispose	LBBB business need
Scope: Community and stakeholder consultation and engagement including surveys, questionnaires, display materials		

EVENTS MANAGEMENT

Retention	Disposal	Authority
Retain records 6 years after date created	Dispose	LBBB business need
Scope: Management of communications, marketing, engagement and training events to promote LBBB, partner organisations, supported organisations and their services, and management of business events including development of programmes of events, event planning, delegate, event delivery and evaluation		

FEEDBACK PROCESSING

Retention	Disposal	Authority
Retain records 2 years after date created	Dispose	LBBB business need
Scope: Processing of customer feedback and comments, excluding complaints management processes		

PERFORMANCE MONITORING AND REPORTING

Retention	Disposal	Authority
Retain records 6 years after date created	Dispose	LBBB business need
Scope: Performance monitoring, bench marking, collection and analysis of performance data, reporting to external agencies, partner organisations and internally within LBBB		

POLICY AND PROCEDURES DEVELOPMENT

Retention	Disposal	Authority
Retain records 6 years after date created	Dispose	LBBB business need
Scope: Development and review of LBBB corporate and operational policy, development and review of safe, efficient and effective business processes, methods		

of work and quality assurance measures and compliance monitoring

RESEARCH AND ANALYSIS

Retention	Disposal	Authority
Retain raw datasets until out of date and/or no longer required	Dispose	LBBB business need
Retain processed data, analysis and interpretation 6 years from date processed or created		
Scope: Primary data collection, secondary source raw data, data processed for specific purposes, data analysis and interpretation		

STRATEGIC PLANNING

Retention	Disposal	Authority
Retain records 6 years after superseded	Dispose	LBBB business need
Retain working papers and drafts for 1 year after strategy adoption		
Scope: Identification, development and planning to establish corporate strategic aims and objectives and priority outcomes		

TRANSFORMATION AND CHANGE MANGEMENT

Retention	Disposal	Authority
Retain records 6 years after date created	Dispose	LBBB business need
Retain working papers and drafts to be retained for 1 year after implementation completed		
Scope: Planning and management of change, oversight of major projects to achieve strategic aims and objectives and improve business delivery		

PHYSICAL ASSETS AND PROPERTY

EQUIPMENT MANAGEMENT

Retention	Disposal	Authority
Retain records 6 years after disposal of equipment, fixed plant or system	Retain 6 years after disposal of equipment	Based on a 6-year timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.5 or negligence under Limitation Act 1980 s.14A
Scope: Portable equipment, plant, fixed equipment and systems defects reporting and repair, routing inspection, testing, servicing and maintenance, transport and storage		

FACILITIES MANAGEMENT

Retention	Disposal	Authority
Retain records 1 year after date created	Dispose	LBBB business need
Scope: Visitors books and signing-in sheets, venue and resources enquiries and booking		

LAND ACCESS AGREEMENTS AND LICENSING

Retention	Disposal	Authority
Retain records 6 years after expiry of agreement or license	Dispose	Based on a 6-year timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.5
Scope: Land and premises access rights giving and taking		

LAND AND PREMISES ACQUISITION AND DISPOSAL

Retention	Disposal	Authority

Retain records 15 years after LBBB ceases to own or lease site or premises	Dispose	Based on a 15 year long stop in which an action can be brought in the case latent damage under Limitation Act 1980 s.14b
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Scope: Land and premises acquisition

LAND MANAGEMENT

Retention	Disposal	Authority
Retain records 12 years after LBBB no longer responsible for site	Transfer to new owner/organisation	LBBB business need based on a 12-year timescale in which an action can be brought in the case of a land dispute under Limitation Act 1980 s.15

Scope: Management of access land, open spaces and common land including maintenance and improvement, pest and invasive species control, animal management, plant and wild animal disease control, excluding premises sites and management of environmental protection and improvement schemes

LAND RECLAMATION SCHEME MANAGEMENT

Retention	Disposal	Authority
Retain records 15 years after LBBB no longer responsible for site	Dispose	Based on a 15 year long stop in which an action can be brought in the case latent damage under Limitation Act 1980 s.14b

Scope: Identification of potential sites suitable for reclamation to recreate economic and/or environmental sites, management of land reclamation schemes, excluding procurement, funding acquisition, outcome monitoring and reporting and tenancies management

PREMISES DESIGN AND CONSTRUCTION SUPERVISION

Retention	Disposal	Authority
Retain records 15 years after completion	Disposal	LBBB business need based on a 15 year long stop in which an action can be brought in the case of latent damage under Limitation Act 1980 s.14b
Retain as built records until LBBB no longer responsible for premises, site or structure	Transfer to new owner or authority	

Scope: Building, site and fixed plant and systems design and construction including large scale/high value planned maintenance excluding procurement

VEHICLE AND FLEET MAINTENANCE

Retention	Disposal	Authority
Retain records 6 years after disposal of vehicle	Dispose	LBBB business need based on maintaining records as contractual evidence based on Limitation Act 1980 s.5 or negligence under Limitation Act 1980 s.14A
Scope: Vehicle and vehicle equipment defect reporting and repair, routine inspection, maintenance, servicing, statutory testing and taxing excluding financial transactions e.g. vehicle purchase and sales, contracts and leasing		

PLANNING AND DEVELOPMENT CONTROL

COMPLAINT INVESTIGATION AND ENFORCEMENT

Retention	Disposal	Authority
Retain records 10 years after resolution, end of enforcement action or sentence period	Dispose	LBBB business need
Scope: Investigation of complaints, enforcement action relating to unauthorised mineral extraction and waste deposit		

DEVELOPER CONTRIBUTION AND OBLIGATION NEGOTIATION

Retention	Disposal	Authority
Retain records 6 years after expiry of funding period or lifetime of development	Dispose or transfer to new authority	LBBB business need based on requirements of Town and Country Planning Act 1990 s.106 and Highway Act 1980 s.278
Scope: Negotiation and management of developer contributions and obligations for developments impacting on for e.g. highways and school places including assessment of impact of proposed developments, negotiation, agreements and engrossment of contributions and obligations, monitoring of compliance and developer funding contribution expenditure monitoring		

LAND AND PROPERTY ENQUIRY PROCESSING

Retention	Disposal	Authority
Retain records 6 years after date created	Dispose	Based on a 6-year period in which an action can be brought in the case of negligence under Limitation Act 1980 s.14A
Scope: Processing of land and property search enquiries including common land, highway extend, mineral and waste sites and developments, petroleum storage sites and rights of way searches		

MINERAL AND WASTE SITE INSPECTION AND MONITORING

Retention	Disposal	Authority
Retain records until LBBB is no longer responsible for function	Transfer to new authority	LBBB business need
Scope: Inspection and monitoring of mineral extraction and waste sites		

PLANNING APPLICATION PROCESSING

Retention	Disposal	Authority
Retain records until LBBB is no longer responsible for function	Transfer to new authority	LBBB business need
Scope: Processing of mineral and waste development planning applications including appeals and public inquiry processes including post-application advice		

PLANNING CONSULTATION PROCESSING

Retention	Disposal	Authority
Retain records 6 years after consultation period	Dispose	Based on a 6-year period in which an action can be brought in the case of negligence under Limitation Act 1980 s.14A
Scope: Processing, co-ordination and submission of planning application consultation responses in relation to applications made to other decision-making authorities for which LBBB is the statutory consultee or development may impact LBBB interests		

PRE-PLANNING APPLICATION ADVICE PROVISION

Retention	Disposal	Authority
Retain pre-application advice records 6 years after date created	Dispose	LBBB business need based on maintaining records in case of negligence under Limitation Act 1980 s.14A
Scope: Provision of pre-planning advice, documents, consultations, assessment, Regulation 21 statements		

RISK MANAGEMENT AND INSURANCE ADMINISTRATION

AUDIT

Retention	Disposal	Authority
Retain records 6 years after audit, investigation, or legal action	Dispose	LBBB business need
Scope: Audit of financial management, administration, systems, and transactions to identify and prevent fraud and misappropriation, prevention, or investigation of alleged fraud and/or misappropriation		

BUSINESS CONTINUITY PLANNING

Retention	Disposal	Authority
Retain records 6 years after superseded	Dispose	LBBB business need
Scope: Identification of, and planning to mitigate risks and response to, and recovery from, incidents affecting business activities including emergency incident planning, operation and review of emergency exercises, incident response and recovery management, post incident review records.		

INSURANCE CLAIMS ADMINISTRATION

Retention	Disposal	Authority
Retain records 6 years after settlement or repudiation (but not before the child/claimant reaches the age of 24)	Dispose	Based on a 6 year period in which an action can be brought in the case of negligence under Limitation Act 1980 S.14A
Retain subsidence claims 100 years		
Scope: Administration of liability and non-liability insurance claims		

INSURANCE POLICIES ADMINISTRATION		
Retention	Disposal	Authority
Retain liability policy documents 40 years after policy expiration or termination	Dispose	LBBD business need
Retain non-liability documents 10 years after policy expiration or termination		
Scope: Administration of insurance policies including; arrangement, variation, renewal and termination of policies		

TRANSPORT AND INFRASTRUCTURE

HIGHWAY ASSET MANAGEMENT

Retention	Disposal	Authority
Retain records 15 years after end of life of structure or asset no longer part of highway	Dispose or transfer to new authority	Based on a 15 year long stop in which an action can be brought in the case latent damage under Limitation Act 1980 s.14b
Scope: Traffic and asset data management, dispute resolution		

HIGHWAY ADOPTION AND DEDICATION

Retention	Disposal	Authority
Retain records LBBB no longer responsible for function	Transfer to new authority	LBBB business need
Scope: Administration of developer agreements (Highways Act 1980 s38), Adoption of road by LBBB (as Highway Authority), dedication of land as public highway		

HIGHWAY MAINTENANCE

Retention	Disposal	Authority
Retain records 6 years after date created	Dispose	Based on a 6 year period in which an action can be brought in the case of negligence under Limitation Act 1980 s.14b or in the case of a simple contract under Limitation Act 1980 s.5
Scope: Processing of fault reports and requests for service, safety and condition inspection, maintenance works scheduling and maintenance operations		

HIGHWAY SCHME DELIVERY

Retention	Disposal	Authority
Retain records 15 years after scheme completion	Dispose	Based on a 15 year long stop in which an action can be brought in the case latent damage under Limitation Act 1980 s.14b
Retain as built records until LBBB no longer responsible for premises, site or structure	Transfer to new authority	
<p>Scope: Delivery of highway schemes including programme management, scheme brief development, site investigations and feasibility study, public consultation, scheme design, scheme delivery planning and monitoring excluding procurement and contract management, and ongoing asset management</p>		

HIGHWAY WORKS REGULATION

Retention	Disposal	Authority
Retain records 6 years after expiry of permit or licence, or from change to, or removal of, licensed structure	Dispose	Based on a 6 year period in which an action can be brought in the case of negligence under Limitation Act 1980 s.14A
<p>Scope: Regulation and co-ordination of works on the highway including licensing and issue of permits for access crossings, cattle grids, cellars and openings, cranes and booms, excavation, licensing of amenities and facilities, tree planting, fencing, minor local improvements, private apparatus and structures, skip and deposit, temporary traffic signals, and inspection of sites and third party works on or affecting the highway</p>		

PASSENGER TRANSPORT PROVISION

Retention	Disposal	Authority
Retain records 6 years after date created	Dispose	Based on a 15 year period in which action can be brought in the case of negligence under Limitation Act 1980 s.14A or in the case of a simple contract under Limitation Act 1980 s.5
<p>Scope: Public transport provision of community, voluntary and provision of public,</p>		

school, special needs and social care transport provision including route planning, capacity management and scheduling excluding procurement, contract management and complaint investigation

RIGHTS OF WAY NETWORK MANAGEMENT

Retention	Disposal	Authority
Retain records until LBBB no longer responsible for function	Transfer to new accountable body	LBBB business need
Scope: Created, establishment, modification or extinguishment of rights of way, licensing of structures and permissive paths including landowner declarations (Highways Act 1980 s.31)		

TRAFFIC MANAGEMENT

Retention	Disposal	Authority
Retain records 6 years after date created	Dispose	LBBB business need
Scope: Abnormal load management, congestion management, traffic incident management excluding Civil contingency planning and response		

TRAFFIC REGULATION

Retention	Disposal	Authority
Retain TRO's 6 years after extinguishment or expiry of order	Dispose	LBBB business need
Scope: Traffic Regulation Orders (TROs) including temporary orders		