

Records Retention and Disposal Schedule 2017-2018



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Introduction

The Nottinghamshire County Council Records Retention and Disposal Schedule is arranged by function rather than departments and their hierarchical structures. The act of moving teams between departments does not usually result in a change to the authority's functions. This approach enables the schedule to reflect the business of the authority regardless of the reporting structure of its officers.

Scope

This document provides details of the records created and retained by NCC, including those managed by Inspire's Records Management Service. Records created or processed by a commissioned partner, where that partner is processing on behalf of NCC are also included.

This document applies to all information which record the transactions of NCC whether they be held in paper or electronic format.

Objectives of the Schedule

The aims of this document are to:

Prevent the premature destruction of records that need to be retained for a specified period to satisfy legal, financial and other requirements of public administration, for example, the Independent Inquiry into Child Sexual Abuse.

Support compliance with the Data Protection Act, the Freedom of Information Act, the General Data Protection Regulation and other relevant legislation.

Provide consistency for the destruction of those records not required permanently in order to reduce the costs of unnecessary storage.

Promote improved Records Management practices within NCC which gives the public confidence that when information is destroyed it is done so according to well-considered rules.

Assist in identifying records that may be worth preserving permanently as part of the authority's archives.

Responsibilities

Group Managers and Team Managers are responsible for ensuring:

- Record retention disposal schedules, policies and procedures are implemented in their teams.
- Recordkeeping systems and arrangements 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 this schedule is authorised by the Information Asset Manager
- Staff dispose of records only in accordance with the approved NCC disposal policy and procedures.
- Records are disposed of appropriately considering their sensitivity, security classification and the media and format in which they are held.
- 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 to Nottinghamshire Archives.
- Evidence of the disposal process is kept.

All staff are 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 document (if authorised to do so).
- Ensuring that any divergence from this schedule is authorised,

Disposal of Records

Records which are marked as destroy must be reviewed by an appropriate person prior to review, i.e. destruction is not an automatic action at the end of the stated retention period.

Where records are to be destroyed the consent of the Information Asset Manager must be confirmed in writing prior to such destruction.

Destruction must be confidential where required and must comply with the relevant NCC policy and procedures.

<http://home.nottscc.gov.uk/working/information-management/retention-disposal-information>

Transfer of Records to Nottinghamshire Archives

Records of potential historic interest or research value should be identified and transferred to Nottinghamshire Archives via the Records Management Service (currently operated by Inspire on behalf of Nottinghamshire County Council).

‘Offer to Archivist for review’ is used to indicate record classes where the Archivist will not usually be interested in retaining the class of records, but may wish to retain those concerning high profile or controversial policies/projects.

The Archivist may choose to select a sample of the records for permanent preservation in the archives; the remainder should be destroyed as specified in the Schedule. The sample may be random, selective or purposeful.

Records no longer required for administrative use may still retain sensitive information. The Archivist should be informed of sensitivity at the time of transfer of the material to the archives, and an appropriate closure period agreed. The closure period should comply with Freedom of Information legislation and any internal policy.

The Data Protection Act provides an exemption for information about identifiable living individuals that is held for research, statistical or historical purposes to be held indefinitely, provided specific requirements are met. It is the responsibility of the Archivist to ensure that this is so.

Officers identifying records of historic value or which are noted as such in this schedule should contact the Records Management Service in the first instance.

Independent Inquiry into Child Sexual Abuse

In a letter to the Chief Executive of Nottinghamshire County Council, dated 2nd July 2015, the chair of the IICSA issued a notice of retention and non-destruction of documents relating to the Inquiry. Until further notice no records which may be of use to the Inquiry may be destroyed.

Reviewing the Schedule

The schedule will be regularly reviewed and updated (every 6 months) by the Records Management Service to ensure that Nottinghamshire County Council is complying with the latest legislation and legal advice.

Retention Quick Reference Section

For further information on each of the following functions and associated records and the rationale for the retention period please see the Retention and Disposal Policies section of this schedule.

Adult Social Care and Health	
Function	Retention
Accommodation Support	6 years after last action/case closure
Case Management	6 years after last action/case closure
Community Living and Disabilities Support	6 years after last action/case closure
Mental Health Support	20 years after last contact or 8 years after death
Vulnerable Adult Protection and support	6 years after last contact

Children and Families	
Function	Retention
Adoptions Management	100 years from date of birth
Child Social Care Case Management	100 years from date of birth
Child in Need	3 years from closure of case
Child Protection	23 years from birth of youngest sibling, or death + 5 years
Foster Carer Supervision and Support (Successful applicants)	10 years from termination of approval
Foster Carer Supervision and Support (Unsuccessful applicants)	3 years from rejection of application
Looked after children	100 years from date of birth
Residential Homes Management and Administration	15 years from closure of file
Schedule 1 Offenders	100 years from date of birth
Serious Case Review	100 years from date of birth
Targeted Youth Support	25 years from date of birth or last contact + 5 years

Community Safety

Function	Retention
Animal Health and Welfare Inspection and Monitoring	6 years after site closure, change of use, NCC no longer responsible
Civil Emergency Planning and Response	3 years after date created
Complaint Investigation and Enforcement	6 years after resolution, end of enforcement action or sentence
Fair Trading Inspection and Monitoring	6 years after site closure, change of use, NCC no longer responsible
Safety Registration and Licensing	6 years after expiry of licence or registration
Sample and Product Testing	6 years after date created

Democracy

Function	Retention
Civic Offices Support	6 years after date created
Decision Making	6 years after date created
Electoral System Support	1 year after date created
Member Support	6 years after date created

Education

Function	Retention
Admissions and Transfers Processing	6 years after end of academic year
Appeals Administration	6 years after end of appeals process
Pupil Files (e.g. where there is SEN or other involvement)	Until end of academic year following user's 25 th birthday
School Capacity Planning	6 years after end of review, decision, or implementation
SEND Case Files	Until end of academic year following user's 25 th birthday

Environmental Protection

Function	Retention
Advice Provision	6 years after date created
Complaint Investigation and Enforcement	10 years after resolution, end of enforcement action or sentence period
Historic Enforcement Protection and Improvement	Until NCC no longer responsible for function
Natural Environment Protection and Improvement	Until NCC no longer responsible for function

Finance

Function	Retention
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 of strategy superseded
External Funding	6 years after end of funding period or as required by funding body
Grant Funding Administration	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, or 25 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	
Function	Retention
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 Substance Management	100 years after date created
Health Surveillance and Exposure Monitoring (identifiable individuals)	Until 75 th 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
RIPA Management	Central records, 1 year after inspection. Originals, 6 years after prosecution.
Voice Call Recording	6 months after recording

Human Resources	
Function	Retention
Attendance and Time Recording	2 years after date created
Employment Contracts Management	6 years after end of employment
Disciplinary and Grievance Procedures Administration	6 years after end of employment
Disclosure and Barring Service Checking	6 months for disclosure report. 6 years after end of contract for records of check.
Industrial Relations Management	10 years after date created or agreement ceases to be effective
Leave Administration	3 years after end of financial year
Performance Monitoring and Review	6 years after date created
Recruitment and Termination Administration	6 months for unsuccessful candidates. 6 years after end of employment for successful candidates
Sickness Absence Management	6 years after end of employment
Staff Training (Individual Training Records)	6 years after end of employment
Training Provision	Course administration: 6 years after date created. Course content and supporting materials until superseded or no longer provided.

Information and Communications Technology (ICT)

Function	Retention
ICT Service Design	6 years after date of creation
ICT Service Operation	1 year after date of creation
ICT Service Transition	6 years after date of creation

Information Management

Function	Retention
CCTV Recording	31 days after date of recording
Information Access Management	6 years after date of creation
Information Security Management	3 years after date of creation
Records Storage Management	Lifetime of organisation
Regulation of Investigatory Powers Act Processing	1 year after inspection for central record 6 years after end of prosecution
Voice Call Recording	6 months after date of recording

Management

Function	Retention
Business Planning	6 years after date created (working papers & drafts for 1 year)
Communications Management and Marketing	6 years after date created
Complaints Management	6 years after complaint resolution
Consultation and Engagement	6 years after date created
Events Management	6 years after date created
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	6 years from date processed
Strategic Planning	6 years after superseded
Transformation and Change Management	6 years after date created

Physical Assets and Property

Function	Retention
Equipment Management	6 years after disposal of equipment, fixed or plant system
Facilities Management	1 year after date of created
Land Access Agreements and Licensing	6 years after expiry of agreement or licence
Land and Premises Acquisition and Disposal	15 years after NCC ceases to own or lease site or premises
Land Management	12 years after NCC no longer responsible for site
Land Reclamation Scheme Management	15 years after NCC ceases to own or lease site or premises
Premises Design and Construction Supervision	15 years after completion. As built records until NCC no longer responsible for site.
Vehicle and Fleet Maintenance	6 years after disposal of vehicle

Planning and Development Control

Function	Retention
Complaint Investigation and Enforcement	10 years after resolution, end of enforcement action or sentence period
Developer Contribution and Obligation Negotiation	6 years after expiry of funding period or lifetime of development
Land and Property Enquiry Processing	6 years after date created
Mineral and Waste Site Inspection and Monitoring	Until NCC no longer responsible for function.
Planning Application Processing	Until NCC no longer responsible for function.
Planning Consultation Processing	6 years after consultation period
Pre-Planning Application Advice Provision	6 years after date created

Risk Management and Insurance Administration

Function	Retention
Audit	6 years after audit or legal action
Business Continuity Planning	6 years after superseded
Insurance Claims Administration	6 years from settlement or repudiation (not before claimant is 24) 100 years for subsidence claims
Insurance Policies Administration	Liability policy for 40 years after policy expiration or termination Non-liability documents 10 years after policy expiration or termination

Transport and Infrastructure

Function	Retention
Highway Asset Management	15 years after end of life or structure or asset no longer part of highway
Highway Adoption and Dedication	Until NCC no longer responsible for function.
Highway Maintenance	6 years after date created
Highway Scheme Delivery	15 years after scheme completion As built records until NCC no longer responsible for site, premises, or structure.
Highway Works Regulation	6 years after expiry of permit or licence, or from change to, removal of licenced structure
Passenger Transport Provision	6 years after date created
Rights of Way Network Management	Until NCC no longer responsible for function.
Traffic Management	6 years after date created
Traffic Regulation	For TROs 6 years after extinguishment or expiry of order

Records Retention and Disposal Schedule

This section provides details of the records retention periods, disposal action and authority such as legislation, codes of practice or guidance.

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 regulation, or to support legitimate business need.

Any divergence from this schedule must be approved by the Information Asset Owner.

Adult Social Care and Health

Accommodation Support

Retention	Disposal	Authority
6 years after last action/ case closure	Destroy	Limitation Act 1980 s.5 and Department of Health Guidance to Social Services
Example of Scope: residential and nursing care, supported accommodations.		

Case Management

Retention	Disposal	Authority
6 years after last action/ case closure	Destroy	Limitation Act 1980 s.5 and Department of Health Guidance to Social Services
Example of Scope: Management of adult health and social care cases, including referrals, enquiries, needs assessment.		

Community Living and Disabilities Support

Retention	Disposal	Authority
6 years after last action/ case closure	Destroy	Limitation Act 1980 s.5 and Department of Health Guidance to Social Services
Example of Scope: Administration of personal allowances, occupational therapy, learning disabilities, rehabilitation, provision of equipment and carer support, housing needs and adaptation support.		

Mental Health Support

Retention	Disposal	Authority
20 years after last contact, or 8 years after death	Destroy	NHS Records Management Code of Practice for Health and Social Care 2016
Example of Scope: Mental health case records.		

Vulnerable Adult Protection and Support

Retention	Disposal	Authority
6 years after last contact	Destroy	Limitation Act 1980 s.5 and Department of Health Guidance to Social Services
Example of Scope: Mental health case records.		

Children and Families

Adoptions Management

Retention	Disposal	Authority
100 years from date of Adoption Order	Destroy	The Disclosure of Adoption Information (Post-Commencement Adoptions) Regulations 2005
Example of Scope: Guidance on Adoption for Local Authorities (2014) section 56 information such as identifying information about the child, birth and medical history, proceedings of the adoption panel, support and placement plans. In practice, this is the NCC adoption case file and social care file for the child.		

Child in Need

Retention	Disposal	Authority
3 years from closure of file	Destroy	Business need
Example of Scope: where child was not adopted, looked after and no intervention with family was required (according to initial assessment). Where referral found to be malicious or unfounded/unproven.		

Child Protection

Retention	Disposal	Authority
23 years from birth of youngest sibling, or death + 5 years	Destroy	Limitation Act 1980 s.5 and Department of Health Guidance
Example of Scope: Child Protection administration, referrals, investigations, allegations, medical information, court case preparations, liaison with external agencies such as police.		

Child Social Care Case Management (Excluding Child Protection)

Retention	Disposal	Authority
100 years from date of birth	Destroy	DoH Guidance to Social Services plus business use
Example of Scope: Management and administration of cases including referrals, enquiries, needs assessments.		

Foster Carer Supervision and Support (Successful applicants)

Retention	Disposal	Authority
Successful applicants: 10 years from termination of approval or last placement	Destroy	Foster Placement (Children) Regulations 1991 s.14 Fostering Services Regulations 2002 s.32
Example of Scope: enquiries, application and assessment records, case files, statutory register maintenance		

Foster Carer Supervision and Support (Unsuccessful applicants)

Retention	Disposal	Authority
Successful applicants: 3 years from rejection or withdrawal of application	Destroy	Foster Placement (Children) Regulations 1991 s.14 Fostering Services Regulations 2002 s.32
Example of Scope: enquiries, application and assessment records, case files, statutory register maintenance		

Looked After Children

Retention	Disposal	Authority
100 years from date of birth	Destroy	Arrangement for the Placement of Children (General) Regulations 1991 s.9 and Care Planning, Placement and Case Review (England) Regulations 2010 s.50 and business use
Example of Scope: care plan, assessment documents, court orders, arrangements by responsible authority with any other authority or independent fostering agency.		

Residential Homes Management

Retention	Disposal	Authority
15 years from closure of file	Offer to Nottinghamshire Archives	Children's Homes Regulations 1991 s.17
Example of Scope: management of homes including records and registers relating to residents, admission and discharge papers, accidents, administration of medical products, daily logs, duty rotas, records of non-employees present at homes.		

Schedule 1 Offenders

Retention	Disposal	Authority
100 years from date of birth	Destroy	Common practice
Example of Scope: case management of adults convicted of Schedule 1 offenders, police notifications.		

Serious Case Review

Retention	Disposal	Authority
100 years from date of birth	Destroy	Common practice
Example of Scope: serious case review documentation, reports.		

Targeted Youth Support

Retention	Disposal	Authority
25 years from date of birth or last contact + 5 years	Destroy	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 UK government
Example of Scope: assessment, support requests, case management.		

Community Safety

Animal Health and Welfare

Retention	Disposal	Authority
6 years after closure or change of use of site, or NCC no longer responsible for function	Destroy	Business need
Example of Scope: Inspections and monitoring, excluding complaint investigation and enforcement, registration and licencing		

Civil Emergency Planning and Response

Retention	Disposal	Authority
3 years after date created	Destroy	Based on timescale in which an action can be brought in case of personal injury or property damage under Limitation Act 1980 s.11
Example of Scope: Emergency response planning, exercise planning and operation, incident response and recovery management.		

Complaint Investigation and Enforcement

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

Fair Trading Inspection and Monitoring

Retention	Disposal	Authority
6 years after closure or change of use of site OR NCC no longer responsible for function	Destroy	Based on timescale in which an action can be brought in case of tort under Limitation Act 1980 s.2
Example of Scope: Inspections and monitoring, excluding complaint investigation and enforcement, registration and licencing		

Safety Registration and Licensing

Retention	Disposal	Authority
6 years after expiry or revocation of licence or registration	Destroy	Based on timescale in which an action can be brought in case of a simple contract Limitation Act 1980 s.5
Example of Scope: Registration, licencing 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
6 years after creation	Destroy	Business need based on maintaining records as contractual evidence under Limitation Act 1980 s.5 or negligence under Limitation Act 1980 s.14A
Example of Scope: Testing and analysis of samples, including handling, storage, methodologies, sample disposal and return.		

Democracy

Civic Offices Support

Retention	Disposal	Authority
6 years after date created	Destroy	Local Government (Access to Information) Act 1985 s.50c
Example of Scope: Support to Chair and Vice Chair in relation to civic functions, event arrangements, civic gifts, civic exchanges.		

Decision Making

Retention	Disposal	Authority
6 years after date created	Transfer signed master records to Nottinghamshire Archives Destroy copies.	Local Government (Access to Information Act 1985 s.50c) Local Government Act 1972
Example of Scope: Management, administration and support for democratic decision-making process, administration of committees. Excludes support for individual members.		

Electoral System support

Retention	Disposal	Authority
1 year after date created	Destroy	Based on timescale in which an action under can be brought under the Representation of the People Act 1983 s.76
Example of Scope: Support for county electoral system including process advice, appointment of returning officers and verification of electoral expenses.		

Member Support		
Retention	Disposal	Authority
6 years after date created	Offer to Nottinghamshire Archives	Business need
Example of Scope: Support to members, including information, advice, and research.		

Education

Admissions and Transfers Processing

Retention	Disposal	Authority
6 years after end of academic year	Destroy	Based on a 6 year timescale in which an action can be brought in the case of tort under Limitation Act 1980 s.2
Example of Scope: Primary and secondary school admissions and transfers (excludes appeals processing)		

Appeals Administration

Retention	Disposal	Authority
6 years after end of appeals process	Destroy	Based on a 6 year timescale in which an action can be brought in the case of tort under Limitation Act 1980 s.2
Example of Scope: Administration of appeals panels, case preparation including exclusions and admissions, home-school transport appeals.		

Pupil Files (with SEND or other NCC involvement)

Retention	Disposal	Authority
End of academic year of 25 th birthday of user	Destroy	Common practice
Example of Scope: SEND and other NCC involvement papers.		

School Capacity Planning

Retention	Disposal	Authority
6 years after end of review, decision, or implementation	Destroy	Business need
Example of Scope: Review of school places, development of and proposals for expansion or reduction in capacity of local authority maintained schools, changes to catchment areas.		

SEND Case Files		
Retention	Disposal	Authority
End of academic year of 25 th birthday of user	Destroy	Common practice
Example of Scope: Eligibility and assessment, requests for support, consent.		

Environmental Protection

Advice Provision

Retention	Disposal	Authority
6 years after date created	Destroy	Period in which an action can be brought in the case of negligence under Limitation Act 1980 s.14A
Example of Scope: Provision of environmental management, protection and improvement advice		

Complaint Investigation and Enforcement

Retention	Disposal	Authority
10 years after resolution, end of enforcement action or sentence period	Destroy	Business need based on UK Police Information Management Standards
Example of Scope: Complaint investigations, informal resolutions, enforcement action.		

Historic Environment Protection and Improvement

Retention	Disposal	Authority
Until NCC no longer responsible for function	Transfer to new authority Offer to Nottinghamshire Archives	Business need
Example of Scope: Planning, monitoring and review, surveys, historic environment record. Excludes planning application consultation.		

Natural Environment Protection and Improvement

Retention	Disposal	Authority
Until NCC no longer responsible for function	Offer to Nottinghamshire Archives	Business need
Example of Scope: Scheme management and monitoring, consents, strategic planning, surveying and monitoring, including geological and landscape, species and habitat. Excludes planning application consultation.		

Finance

Accounting and Reporting

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

Banking Administration

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

Budgets Management

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

Charities and Trusts Administration

Retention	Disposal	Authority
6 years after end of the financial year in which records created Trust deeds and charity and endowment instruments until charity, trust or endowment wound up	Destroy	Period for which annual reports and supporting documents must be retained under Charities Act 2011 s.165 Business need
Example of Scope: Administration of charity, trust and endowment for which NCC acts as trustee including annual reports and deeds.		

External Funding

Retention	Disposal	Authority
6 years after end of funding period unless specified otherwise by external funding body	Destroy	Funding body requirements
Example of Scope: Funding opportunities, resources, development, bid submission, management of funding resources, monitoring, reporting.		

Financial Planning

Retention	Disposal	Authority
6 years after end of planning period or strategy suspended	Destroy	Companies Act 2006, Value Added Tax Act 1994 s.6, Finance Act 1998 Sch.18 pt.3
Example of Scope: Strategic medium and long term financial planning.		

Grant Funding Administration

Retention	Disposal	Authority
6 years after end of funding period unless specified otherwise by external funding body	Destroy	Funding body requirements
Example of Scope: Processing and assessment of applications for grant funding, administration of funding payments, financial and outcome monitoring and reporting.		

Income Processing

Retention	Disposal	Authority
6 years after end of planning period or strategy suspended	Destroy	Companies Act 2006, Value Added Tax Act 1994 s.6, Finance Act 1998 Sch.18 pt.3
Example of Scope: Processing income received for supply of good and services, income records, receipt books, debtor accounts, cash books, till rolls.		

Loans and Leasing Administration

Retention	Disposal	Authority
6 years after end of lease period or settlement of loan	Destroy	Business need
Example of Scope: Processing income received for supply of good and services, income records, receipt books, debtor accounts, cash books, till rolls.		

Payroll Administration

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

Pension Fund Management

Retention	Disposal	Authority
6 years after end of the scheme	Destroy	The Retirement Benefits Schemes (Information Powers) Regulations 1995 s.15
Example of Scope: Pension fund management records including strategy, policy, guidance and decision making. Excludes accounting and reporting.		

Pension Scheme Administration

Retention	Disposal	Authority
6 years after death of last known beneficiary of member	Destroy	The Retirement Benefits Schemes (Information Powers) Regulations 1995 s.15
Example of Scope: Records of member and employee contributions, administration of benefit, policies affecting contributions.		

Procurement

Retention	Disposal	Authority
1 year for unsuccessful tenders after contract award	Destroy	Business need.
Awarded Contract: 6 years for signed contracts		Limitation Act 1980 s.5
12 years for contracts under seal		Limitation Act 1980 s.8
15 years for conveyancing, after end of contract, substantial completion, end of overage or clawback period		Limitation Act 1980 s.14B
Example of Scope: Pre-tender planning, process, contract awards, invitations to tender, tender evaluation, negotiation, approval, bids and correspondence.		

Purchasing and Payment Processing

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

Taxes Management

Retention	Disposal	Authority
6 years after end of the financial year in which records created	Destroy	Taxes Management Act 1970 s.34
Example of Scope: Payment of collected taxes and National Insurance contributions to HM Revenue and Customs, claims and negotiations of refunds, e.g. overpayments. Excludes transactional HR records.		

Health and Safety

Accident and Incident Reporting and Investigation (Adults)

Retention	Disposal	Authority
3 years after end of investigation	Destroy	Social Security (Claims and Payments) Regulations 1979, Reg. 25(3) Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995, Reg. 7.
Example of Scope: Reporting and investigations of accidents, incidents, violent or aggressive conduct, involving adults.		

Accident and Incident Reporting and Investigation (Children)

Retention	Disposal	Authority
21 years after date of birth	Destroy	Social Security (Claims and Payments) Regulations 1979, Reg. 25(3) Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995, Reg. 7.
Example of Scope: Reporting and investigations of accidents, incidents, violent or aggressive conduct, involving children.		

Advice Provision

Retention	Disposal	Authority
6 years after date created	Destroy	Based on period in which an action can be brought in the case of negligence under Limitation Act 1980 s.14A
Example of Scope: Provision of health and safety advice and support		

Hazardous Substances Control

Retention	Disposal	Authority
100 years after date created Retain records until disposal or demolition of affected premises or end of operations involving hazardous substances	Destroy	Based on 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
Example of Scope: Surveying, testing, monitoring, risk assessment, records of control measures, plans of work, notifications of demolition, Excludes individual health surveillance and exposure monitoring.		

Health Assessment

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

Health Surveillance and Exposure Monitoring

Retention	Disposal	Authority
Retain identifiable individual's records until 75 th birthday or 40 years after last medical assessment or exposure monitoring period (50 years if working with or exposed to ionising radiation)	Destroy	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
Example of Scope: Health and exposure monitoring of employees working with or exposed to substances hazardous to health.		

Pre-Employment Health Screening

Retention	Disposal	Authority
1 year after date created	Destroy	Business need.
Example of Scope: Pre-employment health screening assessment.		

Risk Assessment

Retention	Disposal	Authority
6 years after last assessment superseded	Destroy	Based on period in which an action can be brought in the case of negligence under Limitation Act 1980 s.14A
Example of Scope: Identification, assessment of and mitigation of risks to employees, service users etc, health and safety audits, first aid. Excludes hazardous substances.		

Human Resources

Attendance and Time Recording

Retention	Disposal	Authority
2 years after date created	Destroy	Working Time Regulations 1998 Road Transport (Working Time) Regulations 2005 Reg.11
Example of Scope: Timesheets, drivers' log cards.		

Disciplinary and Grievance Procedures Administration

Retention	Disposal	Authority
6 years after end of employment	Destroy	Based on period in which an action can be brought in the case of simple contract under Limitation Act 1980 s.5
Example of Scope: Administration of formal disciplinary and grievance processes including tribunal cases.		

Disclosure and Barring Service Checking

Retention	Disposal	Authority
6 months after reports for disclosure reports 6 years after end of employment for records of checking	Destroy	Home Office Code of Practice for Registered Persons and other recipients of Disclosure Information The Information Commissioner's Office, Employment Practices Code (data protection) Based on period in which an action can be brought in the case of simple contract under Limitation Act 1980 s.5
Example of Scope: Record of routine DBS checks as required by nature of job role.		

Employment Contracts Management

Retention	Disposal	Authority
6 years after end of employment	Destroy	Based on period in which an action can be brought in the case of simple contract under Limitation Act 1980 s.5
Example of Scope: Individual employee terms and conditions, job descriptions and specifications, pay grades, changes to individual employment contracts.		

Industrial Relations Management

Retention	Disposal	Authority
10 years after date created or agreement no longer effective	Destroy	Chartered Institute of Personnel and Development recommendation.
Example of Scope: Management of relationship between NCC, trade unions or employee representative organisations.		

Leave Administration

Retention	Disposal	Authority
3 years after end of financial year in which records created	Destroy	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
Example of Scope: Maternity and paternity leave and non-statutory leave, e.g. contractual and unpaid leave.		

Performance Monitoring and Review

Retention	Disposal	Authority
6 years after date created	Destroy	Based on period in which an action can be brought in the case of simple contract under Limitation Act 1980 s.5
Example of 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
Unsuccessful applicants: 6 months after recruitment decision	Destroy	Based on period in which an action can be brought in the case of simple contract under Limitation Act 1980 s.5
Successful applicants: 6 years after end of employment		
Example of Scope: .Recruitment planning, application processing and assessment, interview and candidate administration, pre-employment checks, probationary period, administration of employment termination processes. Excludes transactional HR payments administration.		

Sickness Absence Management

Retention	Disposal	Authority
6 years after end of employment	Destroy	Based on period in which an action can be brought in the case of simple contract under Limitation Act 1980 s.5
Example of Scope: Formal sickness absence management processes including, self-certification, fit notes, occupational health referrals, return to work administration.		

Staff Training (Individual Training Records)

Retention	Disposal	Authority
6 years after end of employment	Destroy	Chartered Institute of Personnel and Development recommendation
Example of Scope: Training and development records for individual employees. Excludes records of training for work with hazardous substances.		

Training Provision		
Retention	Disposal	Authority
6 years after end of employment (course administration) Course content and materials until superseded or no longer provided.	Offer to Nottinghamshire Archives	Business need.
Example of Scope: Development and provision of training, records of completion and attendance. Excludes individual training records.		

Information and Communications Technology (ICT)

ICT Service Design

Retention	Disposal	Authority
6 years after date created	Destroy	Based on period in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.5
Example of Scope: Architecture management, capacity and availability management, design coordination, service catalogue maintenance.		

ICT Service Operation

Retention	Disposal	Authority
1 year after date created	Destroy	Business need.
Example of Scope: Systems access management, application management, event and incident management, operations control, problem management, request fulfilment, technical management.		

ICT Service Transition

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

Information Management

CCTV Recording

Retention	Disposal	Authority
31 days after date of recording	Destroy	Home Office National CCTV Strategy Report 2007
Example of Scope: CCTV recordings from NCC owned, operated or commissioned cameras or surveillance equipment.		

Information Access Management

Retention	Disposal	Authority
6 years after date of creation	Destroy	Business need
Example of Scope: Information access request processing, data publication re-use and licencing.		

Information Security Management

Retention	Disposal	Authority
3 years after date of creation	Destroy	Business need based on Computer Misuse Act 1990 s.11
Example of Scope: Incident response, investigation, and compliance audit.		

Records Storage Management

Retention	Disposal	Authority
Lifetime of organisation.	Transfer to new authority	Business need based on Freedom of Information Act s.46 Code of Practice
Example of Scope: Records transfer processing, retrieval and disposal.		

Regulation of Investigatory Powers Act Processing (RIPA)

Retention	Disposal	Authority
Central record: 1 year after inspection Originals: 6 years after end of prosecution	Destroy	Business need
Example of Scope: RIPA application forms and approvals for directed surveillance an access to communications data.		

Voice Call Recording

Retention	Disposal	Authority
6 months after recording	Destroy	Business need: Financial Services Authority Telephone Recording: recording of voice conversations and electronic communications, Policy statement 08/1
Example of Scope: Recordings of content of telephone calls.		

Management

Business Planning

Retention	Disposal	Authority
6 years after date created Working papers and drafts for 1 year	Offer to Nottinghamshire Archives	Business need.

Example of Scope: Business planning to achieve operational service delivery priorities based on corporate priority outcomes, and management of NCC'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

Communications Management and Marketing

Retention	Disposal	Authority
6 years after date created	Offer to Nottinghamshire Archives	Business need.

Example of 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

Complaints Management

Retention	Disposal	Authority
6 years after complaint resolution	Destroy	Based on period in which an action can be brought in the case of tort under Limitation Act 1980 s.2

Example of Scope: Processing and investigation of, and response to complaints against NCC concerning decision making, service provision or staff, including statutory, ombudsman, and non-statutory complaints processes and legal defence case preparation

Consultation and Engagement

Retention	Disposal	Authority
6 years after complaint resolution	Offer to Nottinghamshire Archives	Business need
Example of Scope: Community and stakeholder consultation and engagement including surveys, questionnaires, display materials		

Events Management

Retention	Disposal	Authority
6 years after event	Offer to Nottinghamshire Archives	Business need
Example of Scope: Management of communications, marketing, engagement and training events to promote NCC, 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
2 years after date created	Destroy	Business need
Example of Scope: Processing of customer feedback and comments Excluding complaints management processes		

Performance Monitoring and Reporting

Retention	Disposal	Authority
6 years after date created	Destroy	Business need
Example of Scope: Performance monitoring, bench marking, collection and analysis of performance data, reporting to external agencies, partner organisations and internally within NCC		

Policy and Procedures Development

Retention	Disposal	Authority
6 years after date superseded	Offer to Nottinghamshire Archives	Business need
Example of Scope: Development and review of NCC 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
6 years after date created or processed for processed data Retain until out of date/no longer in use for raw datasets	Destroy	Business need
Example of Scope: Primary data collection, secondary source raw data, data processed for specific purposes, data analysis and interpretation		

Strategic Planning

Retention	Disposal	Authority
6 years after superseded Working papers and drafts for one year after strategy adoption.	Offer to Nottinghamshire Archives	Business need
Example of Scope: Identification, development and planning to establish corporate strategic aims and objectives and priority outcomes		

Transformation and Change Management

Retention	Disposal	Authority
6 years after date created Working papers and drafts for one year after implementation.	Offer to Nottinghamshire Archives	Business need
Example of 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
6 years after disposal of equipment, fixed plant or system	Destroy	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
Example of Scope: Portable equipment, plant, fixed equipment and systems defects reporting and repair, inspections, testing, servicing and maintenance, transport, storage.		

Facilities Management

Retention	Disposal	Authority
1 year after date created	Destroy	Business need
Example of Scope: Visitors books, signing-in sheets, venue and resources enquiries and bookings		

Land Access Agreements and Licencing

Retention	Disposal	Authority
6 years after expiry of agreement or licence	Destroy	Timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.5
Example of Scope: Land and premises access rights.		

Land Management

Retention	Disposal	Authority
12 years after no longer responsible for site	Transfer to new owner Offer to Nottinghamshire Archives	Timescale in which an action can be brought in the case of a land dispute under Limitation Act 1980 s.15
Example of Scope: Management of access land, open spaces and common land. Maintenance, improvement, pest and invasive species control, animal management. Excludes premises sites and management of environmental protection and improvement schemes.		

Land and Premises Acquisition and Disposal

Retention	Disposal	Authority
15 years after NCC ceases to own or lease site or premises	Destroy	Based on time in which action can be brought in the case of latent damage under Limitation Act 1980 s14b
Example of Scope: Land and premises access rights.		

Land Reclamation Scheme Management

Retention	Disposal	Authority
15 years after no longer responsible for site	Destroy	Timescale in which an action can be brought in the case of latent damage under Limitation Act 1980 s.14b
Example of Scope: Management of land reclamation schemes. Excludes procurement, acquisition, outcome monitoring and reporting and tenancies management		

Premises Design and Construction Supervision

Retention	Disposal	Authority
15 years after completion As built records until NCC no longer responsible for premises, site or structure	Offer to Nottinghamshire Archives	Timescale in which an action can be brought in the case of latent damage under Limitation Act 1980 s.14b
Example of Scope: Building, site and fixed plant and systems design, construction. Excludes procurement.		

Vehicle and Fleet Maintenance

Retention	Disposal	Authority
6 years after disposal of vehicle	Destroy	Maintaining records as contractual evidence based on Limitation Act 1980 s.5 or negligence under Limitation Act 1980 s.14A
Example of Scope: Vehicle and vehicle equipment defect reporting and repair, routine inspection, maintenance, servicing, statutory testing and taxing. Excludes financial transactions.		

Planning and Development Control

Complaint Investigation and Enforcement

Retention	Disposal	Authority
10 years after resolution, end of enforcement action or sentence period	Destroy	Business need
Example of Scope: Investigation of complaints, enforcement action relating to unauthorized mineral extraction and waste deposit.		

Developer Contribution and Obligation Negotiation

Retention	Disposal	Authority
6 years after expiry of funding period of lifetime of development	Destroy	Town and Country Planning Act 1990 s.106 and Highway Act 1980 s.278
Example of Scope: Negotiation and management of developer contributions and obligations for developments impacting, e.g. highways and school places.		

Land and Property Enquiry Processing

Retention	Disposal	Authority
6 years after date created	Destroy	6 year period in which an action can be brought in the case of negligence under Limitation Act 1980 s.14A
Example of Scope: Processing of land and property search enquiries including common land, highway extent, mineral and waste sites and developments, rights of way searches.		

Mineral and Waste Site Inspection and Monitoring

Retention	Disposal	Authority
Until NCC no longer responsible for function	Transfer to new authority.	NCC business need
Example of Scope: Inspection and monitoring of mineral extraction and waste sites.		

Planning Application Processing

Retention	Disposal	Authority
Until NCC no longer responsible for function	Transfer to new authority	NCC business need
Example of Scope: Processing of mineral and waste development planning applications including appeals and public inquiry processes, and post-application advice.		

Planning Consultation Processing

Retention	Disposal	Authority
6 years after consultation period	Destroy	Timescale in which an action can be brought in the case of negligence under Limitation Act 1980 s.14A
Example of Scope: Land and premises access rights.		

Pre-Planning Application Advice Provision

Retention	Disposal	Authority
6 years after date created	Destroy	Based on maintaining records in case of negligence under Limitation Act 1980 s.14a
Example of Scope: Provision of pre planning advice, documents, consultations, assessment, Regulation 21 statements.		

Risk Management and Insurance Administration

Audit

Retention	Disposal	Authority
6 years after audit, investigation or legal action	Destroy	Business need
Example of Scope: Audit of financial management, administration, systems, and transactions to identify fraud and misappropriation.		

Business Continuity Planning

Retention	Disposal	Authority
6 years after superseded	Destroy	Business need
Example of Scope: Identification of risks and response planning affecting business activities.		

Insurance Claims

Retention	Disposal	Authority
6 years from settlement or after repudiation (not before claimant is 24 years old)	Destroy	Period in which an action can be brought in the case of negligence under Limitation Act 1980 s.14A
100 years for subsidence claims.		
Example of Scope: Administration of liability and non-liability insurance claims.		

Insurance Policies Administration

Retention	Disposal	Authority
40 years after policy termination or expiration for liability policy.	Destroy	Business need
10 years after policy termination or expiration for non-liability		
Example of Scope: Administration of insurance policies including arrangement, variation, renewal and termination of policies.		

Transport and Infrastructure

Highway Adoption and Dedication

Retention	Disposal	Authority
Until NCC no longer responsible for function.	Transfer to new authority	Business need
Example of Scope: Administration of developer agreements, Adoption of road by NCC as Highway Authority, dedication of land as public highway.		

Highway Asset Management

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

Highway Maintenance

Retention	Disposal	Authority
6 years after date created	Destroy	Period in which an 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
Example of Scope: Processing of fault reports and requests for service, safety and condition inspection, maintenance works scheduling and maintenance operations.		

Highway Scheme Delivery

Retention	Disposal	Authority
15 years after scheme completion As built until NCC no longer responsible for premises, site or structure	Destroy Transfer to new authority Offer to Nottinghamshire Archives	Timescale in which an action can be brought in the case of latent damage under Limitation Act 1980 s.14b
Example of Scope: Delivery of highway schemes including programme management, scheme brief development, site investigations, public consultation. Excludes procurement and contract management.		

Highway Works Regulation

Retention	Disposal	Authority
6 years after expiry of permit or licence, change to or removal of licensed structure	Destroy	Period in which an action can be brought in the case of negligence under Limitation Act 1980 s.14A
Example of Scope: Regulation and co-ordination of works on the highway including licensing and permits for excavation, skips, temporary traffic signals.		

Passenger Transport Provision

Retention	Disposal	Authority
6 years after date created	Destroy	Period in which an 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
Example of Scope: Provision of community, voluntary and provision of public, school, special needs and social care transport. Excludes procurement, contract management and complaint investigation.		

Rights of Way Network Management

Retention	Disposal	Authority
Until NCC no longer responsible for function	Transfer to new accountable body Offer to Nottinghamshire Archives	Business need
Example of Scope: Created, establishment, modification or extinguishment of rights of way, including landowner declarations.		

Traffic Management

Retention	Disposal	Authority
Until NCC no longer responsible for function	Transfer to new accountable body	Business need
Example of Scope: Abnormal load management, congestion management, traffic incident management, excluding civil contingency planning and response		

Traffic Regulation

Retention	Disposal	Authority
6 years after extinguishment or expiry of order	Destroy	Business need
Example of Scope: Traffic Regulation Orders including temporary orders.		

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