Records Retention and Disposal Schedule

2017-2018



Version Control

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Version | Author | Approved By | Date | Review Date |
| 1.0 | Inspire (Records Management Service) |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

**Contents**

Introduction 4

Scope 4

Objectives of the Schedule 4

Responsibilities 5

Disposal of Records 5

Transfer of Records to Nottinghamshire Archives 6

Independent Inquiry into Child Sexual Abuse 6

Reviewing the Schedule 6

Retention Quick Reference Section 7

Full Records Retention and Disposal Schedule 14

Adult Social Care and Health 15

Children and Families 17

Community Safety 20

Democracy 22

Education 24

Environment 26

Finance 28

Health and Safety 33

Human Resources 36

Information Communications Technology 40

Information Management 41

Management 43

Physical Assets and Property 47

Planning and Development Control 50

Risk Management and Insurance Administration 52

Index 56

**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.

[NCC to insert or reference process for approval of destruction of records]

**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 25th birthday |
| School Capacity Planning | 6 years after end of review, decision, or implementation |
| SEND Case Files | Until end of academic year following user’s 25th 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 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 |
| 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 25th 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 25th 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  Awarded Contract:  6 years for signed contracts  12 years for contracts under seal  15 years for conveyancing, after end of contract, substantial completion, end of overage or clawback period | Destroy | Business need.  Limitation Act 1980 s.5  Limitation Act 1980 s.8  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 75th 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  Successful applicants: 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: .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)  100 years for subsidence claims. | Destroy | Period in which an action can be brought in the case of negligence under Limitation Act 1980 s.14A |
| 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.  10 years after policy termination or expiration for non-liability | Destroy | Business need |
| 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. | | |

Index

Subjects in bold are major functions which form part of the Quick Reference Section. For sub-functions, the following item in brackets is the major function.

**A**

Accident and Incident Reporting and Investigation

(Adults) (Health & Safety) 33

Accident and Incident Reporting and Investigation

(Children) (Health & Safety) 33

Accommodation Support (ASCH) 15

Accounting and Reporting (Finance) 28

Adoptions Management (Children & Families) 17

Admissions and Transfers Processing (Education) 24

**Adult Social Care and Health 07, 15**

Advice Provision (Environmental Protection) 26

Advice Provision (Health & Safety) 33

Appeals Administration (Education) 24

Animal Health and Welfare (Community Safety) 20

Attendance and Time Recording (Human Resources) 36

Audit (Risk Management & Insurance Administration) 52

**B**

Banking Administration (Finance) 28

Budgets Management (Finance) 28

Business Continuity Planning

(Risk Management & Insurance Administration) 52

Business Planning (Management) 43

**C**

Case Management (ASCH) 15

CCTV (Information Management) 41

Charities and Trusts Administration (Finance) 29

Child in Need (Children & Families) 17

Child Protection (Children & Families) 17

**Children and Families 07, 17**

Child Social Care Case Management

(Excluding child protection) (Children & Families) 17

Civic Offices Support (Democracy) 22

Civil Emergency Planning and Response

(Community Safety) 20

Communications Management and Marketing

(Management) 43

Community Living and Disabilities Support (ASCH) 15

**Community Safety 08, 20**

Complaint Investigation and Enforcement

(Community Safety) 20

Complaint Investigation and Enforcement

(Environmental Protection) 26

Complaint Investigation and Enforcement

(Planning & Development Control) 50

Complaints Management (Management) 43

Consultation and Engagement (Management) 44

**D**

**Democracy 08, 22**

Decision Making (Democracy) 22

Developer Contribution & Obligation Negotiation

(Planning & Development Control) 50

Disciplinary and Grievance Procedures Administration

(Human Resources) 36

Disclosure and Barring Service Checking

(Human Resources) 36

**E**

**Education 08, 24**

Electoral System Support (Democracy) 22

Employment Contracts Management (Human Resources) 37

**Environmental Protection 09, 26**

Equipment Management (Physical Assets & Property) 47

Events Management (Management) 44

External Funding (Finance) 29

**F**

Facilities Management (Physical Assets & Property) 47

Fair Trading Inspection and Monitoring

(Community Safety) 21

Feedback Processing (Management) 44

**Finance 09, 28**

Financial Planning (Finance) 29

Foster Carer Supervision and Support

(Successful applicants) (Children and Families) 18

Foster Carer Supervision and Support

(Unsuccessful applicants) (Children and Families) 18

**G**

Grant Funding Administration (Finance) 30

**H**

Hazardous Substances Control (Health & Safety) 34

**Health and Safety 10, 33**

Health Assessment (Health & Safety) 34

Health Surveillance and Exposure Monitoring

(Health & Safety) 34

Highway Adoption & Dedication

(Transport & Infrastructure) 54

Highway Asset Management (Transport & Infrastructure) 54

Highway Maintenance (Transport & Infrastructure) 54

Highway Scheme Delivery (Transport & Infrastructure) 55

Highway Works Regulation (Transport & Infrastructure) 55

Historic Environment Protection and Improvement

(Environmental Protection) 26

**Human Resources 10, 36**

**I**

ICT Service Design (ICT) 40

ICT Service Operation (ICT) 40

ICT Service Transition (ICT) 40

Income Processing (Finance) 30

Industrial Relations Management (Human Resources) 37

Information Access Management

(Information Management) 41

**Information and Communications Technology (ICT) 11, 40**

**Information Management 11, 41**

Information Security Management

(Information Management) 41

Insurance Claims

(Risk Management & Insurance Administration) 52

Insurance Policies Administration

(Risk Management & Insurance Administration) 53

**L**

Land Access Agreements & Licencing

(Physical Assets & Property) 47

Land Management (Physical Assets & Property) 48

Land & Premises Acquisition & Disposal

(Physical Assets & Property) 48

Land & Property Enquiry Processing

(Planning and Development Control) 50

Land Reclamation Scheme Management

(Physical Assets & Property) 48

Leave Administration (Human Resources) 37

Loans and Leasing Administration (Finance) 30

Looked After Children (Children & Families) 18

**M**

**Management 11, 43**

Member Support (Democracy) 23

Mental Health Support (ASCH) 15

Mineral & Waste Site Inspection & Monitoring

(Planning & Development Control) 50

**N**

Natural Environment Protection and Improvement

(Environmental Protection) 27

**P**

Passenger Transport Provision (Transport & Infrastructure) 55

Payroll Administration (Finance) 30

Pension Fund Management (Finance) 31

Pension Scheme Administration (Finance) 31

Performance Management and Review

(Human Resources) 37

Performance Monitoring and Reporting

(Management) 44

**Physical Assets and Property 12, 47**

**Planning and Development Control 12, 50**

Planning Application Processing

(Planning & Development Control) 51

Planning Consultation Processing

(Planning & Development Control) 51

Policy and Procedures Development (Management) 45

Pre-Employment Health Screening (Health & Safety) 35

Premises Design & Construction Supervision

(Physical Assets & Property) 49

Pre-Planning Application Advice Provision

(Planning & Development Control) 51

Procurement (Finance) 31

Pupil Files (SEND or NCC involvement) (Education) 24

Purchasing and Payment Processing (Finance) 32

**R**

Records Storage Management (Information Management) 41

Recruitment and Termination Administration

(Human Resources) 38

Research and Analysis (Management) 45

Residential Homes Management (Children & Families) 19

Rights of Way Network Management

(Transport & Infrastructure) 56

RIPA Processing (Information Management) 42

Risk Assessment (Health & Safety) 35

**Risk Management and Insurance Administration 13, 52**

**S**

Safety Registration and Licensing (Community Safety) 21

Sample and Product Testing (Community Safety) 21

Schedule 1 Offenders (Children & Families) 19

School Capacity Planning (Education) 24

SEND Case Files (Education) 25

Sickness Absence Management (Human Resources) 38

Serious Case Review (Children & Families) 19

Staff Training (Individual Training Records

(Human Resources) 38

Strategic Planning (Management) 45

**T**

Targeted Youth Support (Children & Families) 19

Taxes Management (Finance) 32

Traffic Management (Transport & Infrastructure) 56

Traffic Regulation (Transport & Infrastructure) 56

Training Provision (Human Resources) 39

Transformation and Change Management (Management) 46

**Transport and Infrastructure 13, 54**

**V**

Vehicle & Fleet Maintenance (Physical Assets & Property) 49

Voice Call Recording (Information Management) 42

Vulnerable Adult Protection and Support (ASCH) 16