

MHDC Corporate Document Retention Scheme

<b>Organisation</b>	Malvern Hills District Council
<b>Title</b>	MHDC Corporate Document Retention Scheme
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Version History

Revision Date	Author	Version	Amendment History
01/09/2016	Sue Gill	V0.1	Final Draft
27/09/2016	Sue Gill	V1.0	Final

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For the following shared services, please refer to the retention schedule of the host/ lead authority

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#### 13. [Legal Services](#)

### **Shared Services- Worcester City lead**

#### 14. [Audit](#)

### **Shared Services- Wychavon lead**

#### 15. [Engineering Services](#)

#### 16. [Housing](#)

#### 17. [HR](#)

#### 18. [South Worcestershire Revenue and Benefits](#)

## 1. Communications

Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
1.1	<b>Corporate policies &amp; strategies:</b> policies & strategies approved by the Council	Destroy all background and supporting records five years from closure. Transfer one copy of each policy or strategy document for reference purposes to the archive to store indefinitely.	Council's five year plan, five year business plan	Other service units will retain some corporate policies and strategies, e.g. Development Plan, Housing Strategy, and Financial Strategy.  Some of the records in this category are produced in partnership with other agencies or by a formal partnership
1.2	<b>Internal review activities:</b> records associated with a range of review activities	Destroy five years from closure.	Communications review, residents' magazine review, print review	
1.3	<b>Media relations:</b> interactions with the media.	Press releases/press cuttings keep indefinitely  Media log – only keep five years worth of information.	Media releases and media enquiries log	
1.4	<b>External communications:</b> such as leaflets, newsletters and reports.	Destroy all background, supporting records and document versions three years from closure. Retain file copy of documents in the archive indefinitely.	Council Tax leaflets, Parish matters newsletter, promotional materials	This category excludes publications listed in other categories, e.g. the Annual Report.  Other service units should be responsible for informing the Communications Team when electronic versions of documents designed and held by the team

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Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
				need to be destroyed.
1.5	<b>Internal publications:</b> communications, such as leaflets, newsletters, presentations, intranet documents and reports.	Destroy all background supporting records and previous versions three years from closure. Retain one file copy of magazines, leaflets, round-up and presentations in the archive indefinitely.	Jack's Round-up, Aspire, media monitoring reports, Jack's message, staff briefing presentation slides, staff survey report	Other service units should be responsible for informing the Communications Team when electronic versions of documents designed and held by the team need to be destroyed.
1.6	<b>Internal staff awards:</b> Nominations and results	Destroy all nomination forms immediately following the presentation of that year's awards.		
1.7	<b>Financial information:</b> Invoices to external clients, invoices to us, products ordered etc	Destroy copy of sent/received invoices within 12 months of being paid.  Keep a log of external jobs for up to five years as reference.	Invoices to parish councils and other external clients, invoices from Ricoh, Antalis and other suppliers, external work log	Accounts will hold invoices for the official statutory period for HMRC purposes. This covers a separate departmental archive for ease of reference.
1.8	<b>Photography</b>	Where photographic consent has been obtained, destroy all photographs (digital images) after five years.  Keep other photos indefinitely.	This will typically be photographs at events organised by MHDC where we ask subjects to pose for a photograph (awards, etc.).	Other service units must obtain consent form from the Communications Team (CT) and obtain signatures and return completed forms to the CT. Where school children are concerned, the schools typically send children whose parents have already signed consent forms, but it is worth checking

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Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
				this.
1.9	<b>Marketing, campaigns and events material</b>	All material in the preparation of campaigns or other marketing should be archived for an indefinite period, one year after its final use.	Campaign plans, market research reports, project briefs etc	
1.10	<b>Lease/maintenance agreements for printers and other reprographic equipment</b>	Maintain for the period of the lease agreement and then destroy.	Printer lease agreements, guillotine maintenance, booklet maker maintenance etc	

## 2. Community Services

### 2.1 General

#### 2.1.1 Corporate Plans, Policies and Strategies

Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
2.1.1.1	Community Services Business Plan (2016-2021)	Retain until superseded or 3 years after expiry date	Electronic Hard copy	Common practice
2.1.1.2	Community Services Management Plan (2016/17)	Retain until superseded or 3 years after expiry date	Electronic Hard copy	Common practice
2.1.1.3	Community Services Marketing & Communications Plan (2016-21)	Retain until superseded or 3 years after expiry date	Electronic Hard copy	Common practice
2.1.1.4	Malvern Hills District Sport & Leisure Strategy (2014-2024)	Retain until superseded or 3 years after expiry date	Electronic Hard copy	Common practice
2.1.1.5	South Worcestershire Playing Pitch Strategy (2015-2030)	Retain until superseded or 3 years after expiry date	Electronic Hard copy	Common practice
2.1.1.6	Malvern Hills District Sport & Community Facilities Strategy (2015-2030)	Retain until superseded or 3 years after expiry date	Electronic Hard copy	Common practice
2.1.1.7	Malvern Hills District Council Safeguarding Policy	Retain until superseded or 3 years after expiry date	Electronic Hard copy	Common practice

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Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
2.1.1.8	Malvern Hills District Council Major Emergency Plan	Retain until superseded or 3 years after expiry date	Electronic Hard copy	Common practice
2.1.1.9	Malvern Hills District Multi Agency Flood Plan	Retain until superseded or 3 years after expiry date	Electronic Hard copy	Common practice
2.1.1.10	Malvern Hills District Council Rest Centre Plan	Retain until superseded or 3 years after expiry date	Electronic Hard copy	Common practice
2.1.1.11	Malvern Hills District Council Business Continuity Plan (Corporate)	Retain until superseded or 3 years after expiry date	Electronic Hard copy	Common practice
2.1.1.12	Community Services Business Continuity Plan (Service)	Retain until superseded or 3 years after expiry date	Electronic Hard copy	Common practice
2.1.1.13	On and Off Street Car Parking Strategy (2012-2017)	Retain until superseded or 3 years after expiry date	Electronic Hard copy	Common practice
2.1.1.14	Parking Enforcement – Customer Charter	Retain until superseded or 3 years after expiry date	Electronic Hard copy	Common practice



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**2.1.2 Partnership Plans, Policies and Strategies**

Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
2.1.2.1	Malvern Hills District Health & Wellbeing Plan (2016-2020)	Retain until superseded or 3 years after expiry date	Electronic Hard copy	Common practice
2.1.2.2	Route to the Hills Development Plan	Retain until superseded or 3 years after expiry date	Electronic Hard copy	Common practice
2.1.2.3	West Mercia Business & Rural Crime Strategy (2015-2017)	Retain until superseded or 3 years after expiry date	Electronic Hard copy	Common practice
2.1.2.4	South Worcestershire Community Safety Partnership Strategic Needs Assessment (2016/17)	Retain until superseded or 3 years after expiry date	Electronic Hard copy	Common practice
2.1.2.5	Worcestershire Local Flood Risk Management Strategy (2015-2021)	Retain until superseded or 3 years after expiry date	Electronic Hard copy	Common practice

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### 2.1.3 Employee & HR

Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
2.1.3.1	Staff meeting notes / annual appraisals	Retain for the duration of the employee's employment	121 notes Annual appraisal Electronic Hard copy	Common practice
2.1.3.2	Service Reorganisation	Retain for	ERG report UNISON consultation Electronic Hard copy	Common practice
2.1.3.3	Job Descriptions / Person Specifications	Retain until superseded or 3 years after deletion of post	Electronic Hard copy	Common practice

### 2.1.4 Generic Administration

Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
2.1.4.1	Hand written notes of meetings from which minutes/notes of meetings are produced.	Destroy once the minutes/notes have been confirmed as a correct record of the meeting –  Usually done at the next meeting	Hand written notes Draft minutes/notes	These are personal notes for administrative purposes and not treated as background papers.
2.1.4.2	Formal agreed minutes of meetings	Retain for 1 year	Formal agreed written minutes i.e. contract management	Common Practice

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Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
	involving council officers		meetings and partnership meetings	
2.1.4.3	Meeting agendas	Destroy after meeting	Electronic Hard copy	Common Practice
2.1.4.4	Marketing and promotional material	Destroy paper copies on completion of project. Electronic copies to be retained where evidencing best practice.  Review necessity to retain on an annual basis	Printed leaflets, flyers, posters	Common Practice

## 2.2 Encouraging active and healthier communities

### 2.2.1 Sport and Leisure Facilities

Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
2.2.1.1	Leisure Facility Contracts	Destroy 12 years after expiry of contract if under seal	Expressions of Interest Pre Qualification Questionnaires Tender specification Tender documents Signed contract	Statutory.  Paper copies to be securely archived at the Pendragon Depot, Electronic copies to be stored within appropriate file path.
2.2.1.2	Leisure Facility / Community Facility	Electronic copies to be saved within appropriate project or service	Written complaints and	Complaints to be retained to evidence trends in subject

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Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
	Complaints	complaints folder along with response.  Hard copy complaints to be scanned and stored as above.  Retain for lifetime of the contract period	complaints received electronically	area and background to perpetual complainants
2.2.1.3	Sling Lane project documents	Paper copies to be rationalised and destroyed where not required. Electronic copies to be retained indefinitely	Grant application forms  Project development plans  Minutes of progress meetings  Planning applications  Build regulations compliance	Significant levels of external funding from grant providers. Project relates to construction of facilities and asset transfer to community sports club
2.2.1.4	Sling Lane tender documents and contracts	Destroy 12 years after expiry of contract if under seal	Formal contract  successful and unsuccessful tenders,  tender specification  tender evaluation criteria	Statutory.  Paper copies to be securely archived at the Pendragon Depot, Electronic copies to be stored within appropriate file path.
2.2.1.5	Malvern Vale CC Lease	Destroy 15 years after the expiry of the lease	Lease agreement	Common practice
2.2.1.6	Upton Hill Centre Lease	Destroy 15 years after the expiry of the	Lease agreement	Common practice

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Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
		lease		
2.2.1.7	Malvern Town Football Club Lease	Destroy 15 years after the expiry of the lease	Lease agreement	Common practice
2.2.1.8	Malvern Rugby Football Club Lease	Destroy 15 years after the expiry of the lease	Lease agreement	Common practice
2.2.1.9	Priory Park Bowling Club Lease	Destroy 15 years after the expiry of the lease	Lease agreement	Common practice

### 2.2.2 Sport / Health Development Initiatives

Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
2.2.2.1	Sportivate project plans	To be kept electronically until the formal completion of the Sportivate initiative	Project delivery plans	
2.2.2.2	Sportivate registration forms	Hard copy forms to be uploaded onto Sport England's database immediately and then confidentially destroyed	Signed participant registration forms	Registration forms contain personal information
2.2.2.3	Sports Awards event plans	To be kept electronically until one year after completion of the event.  Retain any useful information for future	Event gantt charts  Seating plans  Budget sheets	

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Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
		events		
2.2.2.4	Sports Awards nomination/sponsorship forms	Hard copy forms to be uploaded electronically and then confidentially destroyed.  To be kept electronically until one year after completion of the event	Nomination form  Sponsorship form	Forms contain personal information
2.2.2.5	First Aid Courses			

### 2.3 Supporting stronger communities

#### 2.3.1 Voluntary & Community Sector Grant Recipients

Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
2.3.1.1	South Worcestershire CAB	Retain until superseded or 3 years after expiry date	Grant agreement	
2.3.1.2	Malvern & District Age UK	Retain until superseded or 3 years after expiry date	Grant agreement	
2.3.1.3	Community Transport Providers	Retain until superseded or 3 years after expiry date	Grant agreement	
2.3.1.4	Tenbury Community Pool Ltd	Retain until superseded or 3 years after expiry date	Grant agreement	

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Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
2.3.1.5	Live & Local – Shindig	Retain until superseded or 3 years after expiry date	Grant agreement	

### 2.3.2 Volunteering

Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
2.3.2.1	Volunteering Forum			
2.3.2.2	Malvern Hills Volunteering Centre			
2.3.2.3	CAB project	Retain until superseded or 3 years after expiry date	Grant agreement	

### 2.3.3 Assets of Community Value

Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
2.3.3.1	Asset of Community Value			Check legislative requirements for information management

### 2.3.4 Route to the Hills

Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
2.3.4.1	Route To The Hills project planning	Retain electronic records for the life of	Project plans	Significant levels of external

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Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
	documents	the project.  Paper copies to be scanned where required and saved electronically	Records of financial expenditure and grant claims  Marketing and promotion	funding secured by HLF

**2.3.5 Community Services Planning Responses**

Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
2.3.5.1	Open Space			
2.3.5.2	Flood Risk			

**2.3.6 Section 106 Grant Funding**

Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
2.3.6.1	Section 106 Grant funding	Retain electronic records indefinitely	Grant applications and decision notices  Project monitoring reports	Relates to funding secured from developers contributions. To be retained to evidence correct usage of the funding



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### 2.4 Ensuring safer communities

#### 2.4.1 Safeguarding

Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
2.4.1.1	Safeguarding Action Plan			
2.4.1.2	Safeguarding referrals	Referrals held for up to 3 years Policy document to be retained until updated	Referral notes and documents Policy and annex's	
2.4.1.3	Section 11 Audit response			
2.4.1.4	Partnership Themed Meetings			

#### 2.4.2 Emergency Planning

Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
2.4.2.1	Repair and Renew Grant Scheme	To be kept electronically until the formal completion of the scheme  Some elements will be kept i.e. Property level surveys to revisit at a future date	Flooded properties  Property surveys	
2.4.2.2	WCC SLA (2016-2019)	Retain for 1 year after SLA	SLA  Annual Progress Reports	

#### 2.4.3 Civil Enforcement

Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
2.4.3.1	Penalty Charge Notices	Retain for 6 years	Photographs	

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Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
			Electronic Hard copy	
2.4.3.2	Record of receipts	Retain for 6 years		
2.4.3.3	Record of evidence	Retain for 6 years		
2.4.3.4	Correspondence with public / police	Retain for 6 years		
2.4.3.5	SLA with Wychavon District Council			
2.4.3.6	Car Parking Cash Collection Data	10 Years	Email/Spread sheets	Stored in Car Parking Mailbox
2.4.3.7	Metric Cash Box Reports	10 Years	Spread sheets	Electronic Record.

### 2.4.4 Street Scene

Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
2.4.4.1	Street Scene – Reporting	Retain for 6 years	Monitoring documents for Dog Fouling, Graffiti, Complaints	
2.4.4.2	Street Scene - Litter picking; Fly tipping statistics and quantities	Retain for 6 years	Statistics and monitoring and location	
2.4.4.3	Street Scene – Abandoned Vehicles	Retain for 6 years	Car owner searches, removal of vehicle data, locations	
2.4.4.4	Street Scene – Fixed Penalty Notices	Retain for 6 years	Letters, interview minutes	
2.4.4.5	CCTV			

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### 2.4.5 Community Safety Partnership

Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
2.4.5.1	South Worcestershire CSP Meeting Notes	Retain for 1 year	Notes of Meetings	
2.4.5.2	South Worcestershire CSP Funded Projects	Retain for 6 years	Funding proposals Grant agreements Monitoring reports	
2.4.5.3	Malvern Hills CSP Meeting Notes	Retain for 1 year	Notes of Meetings	
2.4.5.4	Malvern Hills CSP Funded Projects	Retain for 6 years	Funding proposals Grant agreements Monitoring reports	
2.4.5.5	Crime Performance Data	Retain for 6 years	Monthly performance data Monthly Ward crime data Annual reports	Allow changes in crime to be identified

### 3. Democratic Services

Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
3.1	Distribution List	Until superseded Replace	Electronic	Common practice
3.2	Freedom of Information requests	Current year + 4 years – Business need Destroy		
2.3	Reports to Council, Committees, Sub-Committees and Panels	6 Years- Destroy		Common Practice
3.4	Members expense claims	Current year + 6 years - S.2- Destroy	Electronic/Paper	Statutory- Limitations Act 1980
3.5	Email communications	Review after issue is concluded and retain only if required as proof of what you did. Destroy	Electronic	
3.6	Member files	While member is in office + 1 year- Destroy	Paper/Electronic	
3.7	Council minutes and committee minutes	Permanent-Deposit with County Archives	Paper	Statutory-Access to Information Act 1985
3.8	Overview and Scrutiny reports	Permanent – Corporate memory Consider Deposit with County Archives	Internet	
3.9	Background papers for council and	Current year + 4 years	Electronic	Statutory- Access to Information

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Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
	committee meetings	Destroy		Act 1985
3.10	Members declaration of interests, gifts and hospitality, and representations on outside bodies	Current year + 6 years		
3.11	Standards Committee complaints	Not investigated – 2 years after decision  Investigation no hearing – 2 years after conclusion of investigation  Hearing – 6 years		
3.12	Declaration of acceptance of office	6 years after ceased to be in office		Local Government Act (1972)
3.13	Register of membership of political groups	Current year + 6 years – Business need		
3.14	Register of financial or other interests and individual written notifications	Current year + 6 years – Business need		

#### 4. Economic Development

Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
4.1	BIS Flood Recovery Grants	6 years from 2013	Paper and electronic Files - Grant application forms, Offer letters, Supporting claim evidence	Required by funding programme
4.2	MHSP Grants	7 years from completion of each EU funding programme/Phase	Paper and electronic Files - Grant application forms, Offer letters, Quarterly claims, final claims, Audit, final sign off	Required by funding programme as referred to in case of clawback or EU audit
4.3	MHDC Start Up and Booster Business Grants	2 years from grant award	Paper and electronic Files - Grant application forms, Offer letters, Supporting claim evidence	To cover the clawback period of the grant
4.4	Welldest – European Wellness Destination project	7 years from completion	Paper and electronic Files - Offer letter, Claim documentation	Required by funding programme as referred to in case of clawback or EU audit
4.5	Portas Pilots – Malvern and Tenbury	6 years from 2013	Paper and electronic Files - Evidence of spend and decision making	Required by Offer letter/ funding programme
4.6	Better Welcome – Upton and Tenbury		Paper and electronic Files - Evidence of spend and decision making	Required by Offer letter/ funding programme
4.7	MHDC Apprentice Grants	2 years from grant award	Electronic Files - Grant application forms, Offer letters, Supporting claim evidence	To cover the clawback period of the grant
4.8	MHDC Graduate Grants	2 years from grant award	Electronic Files - Grant application forms, Offer letters, Supporting claim evidence	To cover the clawback period of the grant
4.9	MHDC Shopfront Grant	2 years from grant award	Paper and electronic Files - Grant application forms, Offer letters, Supporting claim evidence	To cover the clawback period of the grant
4.10	MHDC Tourism Accreditation Grant	2 years from grant award	Paper and electronic Files - Grant application forms, Offer letters, Supporting claim evidence	To cover the clawback period of the grant

## 5. [Electoral Services](#)

Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
5.1	All Elections ECU Expenses Return	One Election cycle + 1 year	Of all election expenses paperwork sent to ECU for settlement, to include all invoices, receipts, signed declarations by the RO and applicable Fees and Charges Order for the election	Retain a set of accounts for every election in order to refer to them at the next ordinary election (election setup and production of next set of accounts for that election type)
5.2	<p><b>Main Election documents</b></p> <p>UK Parliamentary</p> <p>European Parliamentary</p> <p>Local (MHDC, Towns &amp; Parishes and County)</p>	One Year *1	<ul style="list-style-type: none"> <li>• All ballot papers; the counted, uncounted, rejected, unused ordinary, unused, tendered, used tendered and spoilt</li> <li>• Ballot paper accounts, statements of rejected ballot papers and the result of verification of the ballot paper accounts</li> <li>• Statement as to postal ballot papers</li> <li>• Declarations made by companions of voters with disabilities</li> <li>• List of persons to whom ballot papers are delivered in consequence of the amendment of a clerical error made on the day of the poll</li> <li>• List of tendered votes</li> <li>• List of votes marked by the</li> </ul>	

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Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
			<p>presiding officer</p> <ul style="list-style-type: none"> <li>• List of voters with disabilities assisted by companions</li> <li>• Statement of number of votes marked by the presiding officer</li> <li>• Marked copies of the absent voters list, list of postal proxies and the lists of lost and spoilt ballot papers</li> <li>• Marked copies of the register of electors and list of proxies</li> <li>• Completed corresponding number lists</li> <li>• Certificates of employment on duty on polling day</li> <li>• Packets of the contents of the receptacles for postal voting statements and for votes rejected</li> <li>• Postal ballot paper envelopes and postal ballot papers marked rejected</li> <li>• Spoilt postal ballot papers and the postal voting statements and ballot paper envelopes</li> <li>• Unopened postal ballot packs received after the close of poll or</li> </ul>	



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Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
			returned as undeliverable	
5.3	<b>Elections documents (other)</b> UK Parliamentary European Parliamentary Local (MHDC, Towns & Parishes and County)	21 days *1	Nomination Papers  Consent to Nomination  Home Address form (UK Parliamentary election only)	European not held at MHDC
5.4	<b>Candidate Expenses</b> UK Parliamentary European Parliamentary Local (MHDC, Towns & Parishes and County)	Two Years *2	Declaration by candidate as to election expenses;  Declaration by election agent as to election expenses [only to be supplied if the candidate has an election agent];  Return of candidate spending.	Must be offered back to candidates or their agent before disposal of.  European not held at MHDC
5.5	<b>PCC</b> Main Election documents	One Year *1		
5.6	Elections documents (other)	21 days *1		
5.7	Candidate Expenses	Two Years *2		Must be offered back to candidates or their agent before disposal of.
5.8	<b>Referenda</b> Main Election documents	One Year *1		
5.9	Candidate Expenses	Two Years *2		Not held by MHDC

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\*1: The retention period starts with the day of the declaration of result. Documents must not be disposed of if the retainer is aware of an election petition or court order. All documents must be disposed of in a secure and confidential manner

\*2: The retention period starts from the date of receipt from the candidate/agent.

Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
5.10	<b>Postal Votes-</b> election specific	6 months	Postal Vote Applications - election specific	Not a legislated period.  Retain for proof in case of elector disagreement following the election.
5.11	Postal Votes- non election specific	5 years	Postal Vote Applications - non-election specific	To be disposed of upon postal vote refresh.  To be held in batch entry order.  To be held in a defined storage area in polling district order
5.12	Scanned documents	Life of application		DPA principle 5 (retention period)
5.13	<b>Registration</b>  Electoral Roll– including monthly updates	15 years *1		Hold for proof of overseas voter registration.
5.14	Rolling registration– HEFs and ITR's	Until annual register publication *2		Ensures documents are destroyed before legislated requirement to redact NINO within 13 months of application.
5.15	Canvas– HEFs and ITRs	Until July next year		Retain until start of next year's

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Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
				canvass *3
5.16	Rolling registration- Exceptions processing evidence	Until RR register publication (up to 4 weeks)		Originals returned immediately via recorded delivery.  Destroy evidence monthly once register produced.
5.17	Canvass– Exceptions processing evidence	Until annual register publication *2		Originals returned immediately via recorded delivery.
5.18	Scanned documents	Life of application		DPA principle 5 (retention period)  Xpress to redact NINO on ITR before 13 months from date of application.

\*1: This is likely to be extended to an indefinite retention period, as overseas voters are likely to be given the right to register regardless as to the length of time they are outside of the UK.

\*2: Register publication is normally the 01<sup>st</sup> December. Do not destroy if an interim register is published.

\*3: ITR and HEF retention period is based on the requirement to hold the original from point of application through the following ordinary election, in case there is a dispute with the registration at election time.

## 6. Environmental Services

### 6.1 Refuse and Recycling

Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
6.1.1	Flytip Returns – Defra	Min. 5 Years	Submission Sheets Action Sheets WasteDataFlow Returns	Since October 2015, all Fly tipping is now reported in Waste Data Flow. All previous returns are kept on paper file but all returns from October 2015 are accessible on WDF website
6.1.2	Weighbridge Tickets	2 Years	Paper Weighbridge Tickets	Electronic reports from county kept for 6 years
6.1.3	Commercial Waste Duty of Care	6 years from signature date	Duty of Care – Waste Controlled Transfer Note	Each year a new Duty of Care must be signed by the customer and kept on file for 6 years.
6.1.4	Commercial Waste Contract	Indefinitely – Current Customers 1 Year – Cancelled contracts	Contract	Only electronic copies will be kept on file
6.1.5	Waste Collection Incident Reports	10 Years	Report Forms	Electronic copies only
6.1.6	Garden Waste Collection Reports	1 Month	Collection Report	
6.1.7	New Commercial Waste Account Request Form	2 Years (from submission date)	New Commercial Waste Account Request Form	Electronic Copy only. Paper copy destroyed immediately after transferring to electronic.

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Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
6.1.8	Recycling Credit Data	10 Years	Weight Tickets Recycling Credit Claim Form	Electronic and paper copies held on file.

**6.2 Transport & Logistics**

Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
6..2.1	Vehicle Maintenance Records	2 Years	All documents in Vehicle files	Legislation states 15 months but audits of 6 monthly inspections (for example) are easier with a full 2 years of history available.
6.2.2	Tachograph Records	10 Years	Electronic and paper reports	Legislation states 12 months (or 2 years if used as working time records).  Keep for 10 years to support any employment investigations that may arise.
6.2.3	Signed Risk Assessments	10 Years	Paper documents	Keep for 10 years to support any employment investigations that may arise.
6.2.4	Induction	10 Years	Paper documents	Keep for 10 years to support any employment investigations that

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Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
				may arise.
6.2.5	Holiday Records	2 Years 10 Years	Paper request form Electronic files	Keep electronic data for 10 years to support any employment investigations that may arise.
6.2.6	PR&D Documentation	10 Years	Paper PR & D Forms	Keep for 10 years to support any employment investigations that may arise.
6.2.7	Training Records	10 Years	Training Matrix	Keep for 10 years to support any employment investigations that may arise.
6.2.8	Signing In/Out Sheet	1 Year 6 Years	Electronic Copy Paper Copy	Signing in/out sheets stored with timesheets
6.2.9	D Licence Check	Rolling 12 months		6 monthly online checks are now in place (2015 onwards). Card/paper licences were scanned (for drivers) as part of the induction (agencies), so these records will be kept for 10 years.  The licence (for drivers) is also scanned as part of the annual PR&D, so again, these will be kept for 10 years.

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Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
6.2.10	Vehicle Signing In/Out Sheet	2 Years	Paper Records	
6.2.11	Day Schedules	10 Years	Paper Records Electronic Copy	Keep for 10 years to support any employment investigations that may arise

### 6.3 Support and Development

Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
6.3.1	Timesheets	6 Years	Agency Timesheets MHDC Timesheets Matrix	Electronic and paper copies held on file
6.3.2	Credit Note Request Forms – Commercial Waste	2 Years (from submission date)	Credit Note Request Form	
6.3.3	Delivery Notes	6 Years	Litter bins, park equipment, refuse sacks	
6.3.4	Complaints/Comments received by email	10 Years after resolution date	e.g. an email from a resident stating bin has not been collected	Stored in 'Actioned' folder of mailbox.
6.3.5	PPE Request Forms	1 Year	Request Form	Paper copies

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Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
6.3.6	Credit Card Receipts	1 month until submitted to Finance		Finance will have own retention plan once submitted

**6.4 Streets and Amenities**

Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
6.4.1	Play Area Inspection Sheets	18 Years	Ticksheet	
6.4.2	Road Sweeping Sheets	Min. 5 Years	Ticksheet	
6.4.3	Hazardous Waste Records	Min. 5 Years	Consignment Notes Transfer Notes	
6.4.4	Tree Surveys	Indefinitely	Survey Reports Order/Work Done	
6.4.5	121 Meeting Notes	Period of employment of staff member	Notes	
6.4.6	Grass Cutting Schedules	Min. 5 Years	Ticksheets	
6.4.7	Car Park Inspection Records	Min. 5 Years	Ticksheets	
6.4.8	Winter Grounds Maintenance Work	Min. 5 Years	Ticksheets	
6.4.9	Training Certificates	Period of employment of staff	Copy Certificates	



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Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
		member		
6.4.10	St Peters Churchyard	Min. 5 Years	Ticksheets	
6.4.11	Various Reference Records	Indefinitely	Photographic Records Information Sheets	

**6.5 Miscellaneous**

Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
6.5.1	Management Plans	10 Years	Operational Management Plan	Electronic Copy

## **7. Estate Management**

<b>Ref</b>	<b>Function Description / Type of Record</b>	<b>Retention Action / Retention Period</b>	<b>Examples of Records</b>	<b>Notes</b>
7.1	Asset Valuations	Indefinitely.	Asset valuations of Council owned property	When property is disposed of, retain for one financial year only.
7.2	Business impact Analysis	Indefinitely.	For the service areas covered by Property	Retain current and preceding version only
7.3	Council Property	Retained for six years after the property sold.  Any warranties to be retained for duration of benefit.	Condition surveys Floor plans Contracts Works Fire Risk Assessments Leases Licences	
7.4	Employee & HR	Indefinitely.	Job Descriptions and Person Specifications	
7.5	Estate Management	Indefinitely.	Various land and property enquiries	
7.6	Facilities Management	Retained for six years after the property sold.	Buildings maintenance information, contracts, health and safety, test certificates utilities.	
7.7	Asbestos	Indefinitely	Reports and re-inspection records	
7.8	Procedures	Indefinitely	Documentation in relation to the functions carried out by Property Services.	

## 8. Finance

### 8.1 Financial Regulations- Income & Expenditure

Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
8.1.1	Expenditure records	6 years  1 year plus current  1 Year	<ul style="list-style-type: none"> <li>• Creditor invoices</li> <li>• Credit notes</li> <li>• Periodic payments records</li> <li>• Credit &amp; procurement card statements</li>   <li>• Orders</li> <li>• Delivery notes</li> <li>• Original BACS records</li> <li>• Petty cash float &amp; imprest documentation</li> <li>• Cash advances documentation</li>   <li>• BACS submission summary</li> </ul>	In accordance with Customs & Revenues requirements
8.1.2	Income records	6 years  1 year plus current	<ul style="list-style-type: none"> <li>• Debtor accounts</li> <li>• Write off documentation</li> <li>• Remittance advices</li>   <li>• Cash receipting cash-up reports</li> <li>• Misc. income receipts</li> <li>• Misc. income correspondence</li> <li>• Debtors cash receipts</li> <li>• Original BACS records</li> <li>• TIC Income sheets</li>   <li>• BACS submission</li> </ul>	In accordance with Customs & Revenues requirements  Soft copy only

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Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
		1 Year  6 months	summary  <ul style="list-style-type: none"> <li>Cash collection receipts</li> </ul>	

**8.2 Financial Regulations- Accountancy/Financial**

Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
8.2.1	Budgetary monitoring reports (Revenue and capital)	Current year + final version of previous year (Hard copy)		Common Practice
8.2.2	Estimate working papers	2 years (Hard copy)  6 years (Soft copy)	<ul style="list-style-type: none"> <li>Budget working papers</li> <li>Budget adjustments/virements</li> </ul>	Common Practice
8.2.3	Financial ledgers/Final accounts	6 years	<ul style="list-style-type: none"> <li>Year end report/files</li> <li>Journals</li> </ul>	Common Practice
8.2.4	Grant claim records	6 years		Common Practice
8.2.5	Statement of accounts	6 years		Common Practice
8.2.6	Cash flow forecasts	1 year  Current year	<ul style="list-style-type: none"> <li>Forecast spreadsheet</li> <li>Daily bank documentation (HSBCnet)</li> </ul>	
8.2.7	Investment records	6 years	<ul style="list-style-type: none"> <li>Investment summary</li> <li>Confirmations</li> <li>Chaps documentation</li> </ul>	Common Practice
8.2.8	Loan records & correspondence	6 years		Common practice

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Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
8.2.9	VAT	6 years	<ul style="list-style-type: none"> <li>• Claims and working papers</li> <li>• Records</li> </ul>	Common Practice
8.2.10	Reconciliations	2 years	<ul style="list-style-type: none"> <li>• Council Tax/NNDR</li> <li>• HBOP</li> <li>• Payroll</li> </ul>	
8.2.11	Mortgages: records/ correspondence	6 years		Common practice
8.2.12	Leasing records	2 years after expiry of lease		Common Practice – Held by service units

**8.3 Financial Regulations- Bank Related Records**

Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
8.3.1	Bank records	6 years	<ul style="list-style-type: none"> <li>• Bank paying-in books/slips</li> <li>• Bank reconciliation papers</li> <li>• Bank statements</li> <li>• Cheque books &amp; counterfoils</li> </ul>	Common Practice
8.3.2	Cheques	1 year plus current	<ul style="list-style-type: none"> <li>• Cancelled/returned cheques</li> </ul>	
8.3.3	Credit/Debit Card Vouchers	2 years		
8.3.4	Card Processing	6 months	<ul style="list-style-type: none"> <li>• TNS card processing reports</li> <li>• TIC daily polling reports</li> </ul>	Soft copy only Retain at TIC

**8.4 Financial Regulations- System Records**

Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
8.4.1	Daybooks	6 years	<ul style="list-style-type: none"> <li>• Creditors daybooks</li> <li>• Debtors Daybooks</li> <li>• GL Daybooks</li> </ul>	Soft copy only
8.4.2	Interface Reports	6 years  6 months	<ul style="list-style-type: none"> <li>• Journal load reports</li> <li>• Voucher load reports</li> <li>• Academy payment posting report</li> </ul>	Soft copy only
8.4.3	Icon Processing	1 year plus current	<ul style="list-style-type: none"> <li>• Icon transfers</li> <li>• RD cheques</li> <li>• Icon journal documentation</li> <li>• Bank Rec adjustments</li> </ul>	
8.4.4	System documentation	2 years		Common practice

**8.5 Financial Regulations- Insurance Records**

Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
8.5.5	Insurance claims	6 years	<ul style="list-style-type: none"> <li>• All relating correspondence</li> </ul>	Common practice – held by Legal Services
8.5.6	Insurance	6 years	<ul style="list-style-type: none"> <li>• Contracts – expired</li> <li>• Policy documentation</li> </ul>	

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**8.6 Financial Regulations- Contracts**

Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
8.6.1	Contract Registers	Retain Indefinitely		Common Practice
8.6.2	Successful tenders (retention period relates to after final payment)	6 years		Common practice – held by Service Units
8.6.3	Unsuccessful tenders (retention period relates to final payment of successful contractor)	Until final payment		Common practice – held by Service Units

**8.7 Financial Regulations- Miscellaneous Records**

Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
8.7.1	Inventory records	6 years		Common practice– Held in Service Units
8.7.2	Stock lists (supporting Statement of Accounts figures)	2 years		Common practice – Held in Service Units

**8.8 Financial Regulations- Payroll**

Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
8.8.1	All payroll records	Current plus 6 years	<ul style="list-style-type: none"> <li>All timesheets, mileage claims, contract amendments.</li> <li>All HMRC related information</li> </ul>	Legislation

## 9. Planning

### 9.1 Development Control

Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
9.1.1	The process of controlling development of land and property through planning and other statutory applications	Keep all files from 1 April 1974	<ul style="list-style-type: none"> <li>• Planning application files and plans</li> <li>• Correspondence relating to applications</li> <li>• Planning application register</li> <li>• Appeal papers and decision letters</li> </ul>	Statutory
8.1.2		Microfiche Records kept from 1974 to 1995		
9.1.3	The process of enforcing planning control	Closed files – destroy after 10 years Register kept from 1 April 1974 Notices to be retained electronically	<ul style="list-style-type: none"> <li>• Enforcement register</li> <li>• Enforcement notices</li> <li>• Breach of condition notices</li> <li>• Enforcement files</li> </ul>	Statutory  As the documents are considered confidential/ contain personal information, any disposal of paper copies to be via confidential shredding.
9.1.4	The process of recording all other documents relating to planning matters not covered above	Destroy after 5 years	<ul style="list-style-type: none"> <li>• Pre-application enquiries</li> <li>• General correspondence</li> <li>• Permitted development enquiries</li> </ul>	Common Practice  As the documents may contain confidential material/ personal information, disposal of paper copies to be via confidential shredding.



**9.2 Development Plans & Conservation (Landscape)**

Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
9.2.1	The process of conserving the landscape for public amenity	Keep all Tree Preservation Orders and Hedgerow Retention Notices Destroy other files 5 years after administrative use concluded.	<ul style="list-style-type: none"> <li>• Tree Preservation Orders</li> <li>• Hedgerow Retention Notices</li> <li>• Section 211 Notices – Trees in Conservation Areas</li> </ul>	Common Practice

**9.3 Development Plans & Conservation (Conservation)**

Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
9.3.1	The activity of recording information on historic buildings, monuments and landscape at a specific site	Refer to the archives	<ul style="list-style-type: none"> <li>• Listed Building records</li> <li>• Registered Parks and Gardens</li> <li>• Conservation Area designations</li> </ul>	Common practice
9.3.2	The process of approving applications for grants to historic buildings	Destroy 5 years after administrative use concluded	<ul style="list-style-type: none"> <li>• 1962 Act Historic Buildings Grants</li> <li>• Port Street Heritage Economic Regeneration Scheme Grants</li> </ul>	Common practice

**9.4 Development Plans & Conservation (Policy Plans)**

Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
9.4.1	The activity of	Until the policy	Duly made comments to the	Common Practice

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Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
	recording responses to proposed new planning policy documents	document is replaced/superseded	emerging Local Plan, Supplementary Planning Documents, Statement of Community Involvement Files and documents used as background evidence at a public inquiry	

## 10. [The Hub-Civica](#)

Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
10.1	Applications- approved	Destroy once application is approved	Bus Passes Blue Badges	Good practice
10.2	Applications-Declined	Retained for	Bus passes Blue Badges	Good practice
10.3	Electronic records	Destroyed after 3 months on a rolling basis	Photos	Good practice
10.4	Scanned files- at the Hub	Destroyed after 1 month		Good practice
10.5	Hard copy of files- at the Hub	Destroyed after 3 months on a rolling basis		Good practice

11. [WRS- Please use the following link- here](#)

12. [Building Control](#)

Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
12.1	<b>Building Control Application files, including inspections records and certificates:</b>	15 Years	<p><b>Worcester City-</b></p> <p>Microfiche from 1985 - 1998</p> <p>1999 to present – Electronic</p> <p><b>Malvern Hills-</b></p> <p>Microfiche – from 1974 – 1993</p> <p>1994 - 2009 completed – electronic</p> <p>2007 - 2009 pending – paper files</p> <p>2009/10 to present – Electronic</p> <p><b>Wychavon District Council-</b></p> <p>1974 - 1993 – plans only on microfiche</p> <p>1974 - 1993 – Approvals/compcert– Electronic (IDOX)</p> <p>1994 - 2009 – completed jobs – Electronic (IDOX)</p> <p>1994 - 2009 – pending – paper files</p> <p>2009/10 to present – Electronic</p>	
12..2	<b>Building Control Registers – Electronic</b>		Malvern – Index cards – 1974-1993/94	

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Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
	<b>and Manual Paper</b>		Wychavon – Manual paper registers from 1974-1994  Worcester – Manual paper registers from 1966 – April 2009	
12.3	Demolition Notices – Electronic for all authorities	15 Years		
12.4	Dangerous structure files - Electronic	15 Years	Malvern - paper files from 1992 - 2008	
12.5	Solicitor Enquiries – Outlook folder (2012 to present)			
12.6	General enquiries – Outlook folder (2012 to present)			
12.7	NHBC Returns – Electronic from 2011 to present day	5 Years		
12.8	CPS XML files – Electronic from 2012 to present day	15 Years		

### 13. Legal Services

Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
13.1	Contracts, short leases, licences as to land etc.	Files term plus 6 years Deeds term plus 12 years	Contracts and file including successful and unsuccessful tenders, tender specification and evaluation criteria.	Statutory
13.2	Capital, shared service and other major value contracts	Files Indefinitely Deeds Indefinitely		
13.3	Property matters (conveyancing)	Files 12 years from conclusion. All-important documents to be stored with deeds. Deeds Indefinitely	Sales and Purchases  Leases  Mortgages  Easements  Covenants	
13.4	Orders and similar made by the Council	Files Indefinitely Deeds Indefinitely	Footpath diversions  Byelaws  Changes of parish name	
13.5	Town and Country Planning- enforcement matters where no enforcement notice has been served  Enforcement matters- where notice has been served	Files 10 years from conclusion of investigation. 4 years for operational development. Deeds Enforcement Notices, court judgements etc. to be stored as a deed and retained	Planning Enforcements	Common Practice

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Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
		<p>indefinitely</p> <p>Files 6 years</p>	<p>Health and safety</p> <p>Environmental Crime</p>	
13.6	Civil contentious/Non contentious (including employment) matters	<p>Files 6 years from conclusion</p> <p>Deeds retained indefinitely</p>	<p>Civil Case file e.g. unpaid debt</p> <p>Court judgements</p>	Unless there is a clear reason for keeping it for longer, bearing in mind DPA obligations
13.7	Litigation. (Process of undertaking or defending an action for or against the Council)	<p>Files- 6 years after last action</p> <p>Building control, planning or tree related- 16 years after last action</p>	<p>Criminal case file</p> <p>Judicial review</p>	<p>Common practice</p> <p>Mandatory</p>
13.8	Matters related to S106 Agreements and Unilateral Undertakings.	<p>Destroy 12 years from date of Completed Agreement.</p> <p>Deeds Indefinite. Completed S106 Agreement only</p>	Whole file with the exception of the S106 Agreement	Common Practice
13.9	<p>Complaints</p> <ul style="list-style-type: none"> <li>- Corporate</li> <li>- Councillor</li> </ul>	<p>1 year after case closed</p> <p>2 years after conclusion of investigation/decision by Standards Committee</p> <p>6 years after the hearing</p>	<p>Complaint forms</p> <p>Correspondance</p>	<p>Corporate complaints- Ombudsman cases can be reopened up to one year later.</p> <p>Complainant can escalate complaint to Ombudsman up to one year later from date received.</p>

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Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
13.10	FOI Disclosures	Files 3 years after year of Disclosure- Business reason		Common Practice
13.11	Subject Access Requests	Files 1 year after disclosure		Common Practice
13.12	General advice files and other Legal matters	Files 6 years  Deeds Anything of wider relevance to the district or council (i.e. which future solicitors may need to see) to be stored as a deed.		Common Practice.



## 14. [Audit](#)

**THIS IS A DRAFT VERSION AND MAYBE SUBJECT TO CHANGE**

Ref	Function Description / Type of Record	Retention Action / Retention Period	Examples of Records	Notes
14.1	Audit reports	3 years	Including supporting audit working papers	Good practice
14.2	Special Investigation reports	3 years – for unfounded allegations  10 years – for founded allegations	- Fraud or theft investigation  - Investigations regarding irregularities with contracts or driven by complaints  Including supporting audit working papers	Good practice
14.3	Audit plans/strategies	- 3 years for annual plans/strategies  - 5 years for longer term plans /strategies	Including supporting audit working papers	Good practice
14.4	Quarterly, Half yearly and annual audit reports	3 years	Including supporting audit working papers	Good practice
14.5	Minutes of meetings and related papers	3 years	Audit Committee papers and supporting documentation	Good practice

15. **[Engineering Services](#)**-Please use the following link- **[here](#)**
16. **[Housing](#)** -Please use the following link- **[here](#)**
17. **[HR](#)**-Please use the following link- **[here](#)**
18. **[South Worcestershire Revenue and Benefits](#)**-Please use the following link- **[here](#)**