East Ayrshire Council

Corporate Retention Schedule

This schedule has been developed as a high-level document defining the retention periods for all records held by the council. It applies to records of all types: paper; electronic; audio-visual and other media. It contains descriptions of all records associated with the functions of the council.

Individual departments, services, sections and teams should be able to associate any records they have with an entry in this schedule and use this information to determine how long the information needs to be kept.

Where records need to be retained for a specific period, Services should make use of the Records Centre for storage of non-current records, which are accessed infrequently.

A key to terms used is provided at the end of the schedule.

Version control

1.01	Section 3.3.1	Transcription errors corrected. Retention C + 75 not C + 10
1.10	Section 7.3.2	Minor additions to clarify use (RB)
1.10	Section 7.5.2	New addition for superannuation (RB)
1.10	Section 4.4.2	New addition for Council House Sales (AG)
1.10	Section 6.1.2	Clarified retention period (AD)
1.10	General	Clarify when files offered to archivist – default is C + 6
1.10	Section 10.2	Default position - Planning C + 15 then offer significant records to archivist (DM)
1.10	Section 6.2.1	Clarified retention (GP)
1.10	Section 6.1.2	Clarified details for Job Evaluation project (AD)
1.10	Page 2	Change of Records Management Team details
1.20	Section 10.3.3	New addition Building Standards
1.20	Section 1.4.1	Amendment to Elected Members extend retention from T+8 to T+10
1.20	Section 3.6.5	New addition Education
1.20	Section 11.3.3	Amendment to Roads & Infrastructure Design, Construction & Maintenance addition of record types
1.20	Section 11.2.3	New addition Traffic Management
1.20	Section 4.1.3	Amendment to include record example of Court Decrees [paid in full]
1.20	Section 4.1.6	New addition Litigation – Court Decrees
1.20	Section 7.7	Amendments to 7.7.2 and 7.7.3 Income and Debt Management [outstanding debts records C + 20]
1.30	Section 11.3.4	New addition – Road Maintenance – Activity of providing winter gritting services [C+5]

Contents

Reference **Description**

0 Standard Operating Procedures
Unimportant records
Superseded records
Duplicate records

1. Democratic Processes
1.1. Elections
1.2. Council and Committee Meetings
1.3. Partnership, Agency and External Meetings
1.4. Elected Members

2. Management and Administration
2.1. Corporate Planning and Reporting
2.2. Statutory returns
2.3. Policy, Procedures, Strategy and Structure
2.4. Public Consultation
2.5. Information Management
2.6. Enquiries and Complaints
2.7. Quality and performance management
2.8. Public & media relations, publications and marketing
2.9. Civic and Royal Events

3. Client Services
3.1. Children's Services and Child Protection
3.2. Family Support
3.3. Adult and Elderly Case Files
3.4. Residential Homes
3.5. Housing Provision
3.6. Education

3.7. Health Promotion

4. Legal & Contracts
4.1. Litigation
4.2. Advice
4.3. Agreements
4.4. Conveyance
4.5. Contracts and Tendering

5. Statutory Services
5.1. Births Deaths and Marriages Registration
5.2. District Court

6. Human Resources
6.1. Personnel administration
6.2. Industrial Relations
6.3. Equal Employment Opportunities
6.4. Occupational Health
6.5. Training & Development

7. Financial Management
7.1. Financial Strategy & Policy
7.2. Budgets and Estimates
7.3. Statutory Financial Reporting
7.4. Treasury Management
7.5. Payroll
7.6. Payments
7.7. Income & Debt Management
7.8. Bank Accounts
7.9. Non-Domestic Rates and Council Tax
7.10. Counter Fraud and Intervention (Benefits)
7.11. Housing Benefit

8. Asset Management
- **8.1. Summary Asset Management**
- **8.2. Asset Maintenance**
- **8.3. Property Management**
- **8.4. Insurance & Risk Management**

9. General Public Services
- **9.1. Health and Safety**
- **9.2. Emergency Planning**
- **9.3. Registration, Certification and Licensing Enforcement**
- **9.4. Notification, Investigation, Inspection and Prosecution**
- **9.5. Bye-Laws**
- **9.6. Cemeteries**
- **9.7. Waste Management**

10. Planning and Land Use
- **10.1. Planning Development and Amendment**
- **10.2. Planning Regulation**
- **10.3. Building Standards**
- **10.4. Project Implementation**

11. Infrastructure and Transport
- **11.1. Transport and Roads Planning and Development**
- **11.2. Traffic Management**
- **11.3. Roads & Infrastructure Design Construction and Maintenance**
- **11.4. Transport Fleet Management**

Ref	Function Description	Examples of Records	Fate of Records	Notes/Comments
0	**Standard Operating Procedures**	**Back to Index**		
0.0.1	Unimportant records of no business or archive value	• 'with compliments' slips • catalogues and trade journals • telephone message slips • non-acceptance of invitations • trivial email messages or notes • working papers which lead to a final report	Destroy routinely	Standard Operating Procedure defines types of records which staff may routinely destroy in the normal course of business.
0.0.2	Superseded material	• Superseded draft documents • Address books, mailing lists, membership lists • Guidance documents, procedures and circulars • Manuals • Details of authorised signatories • Electronic copies of documents where a hard copy has been printed and filed • Press cuttings	Destroy routinely, for example when new versions of the document are introduced.	Standard Operating Procedure defines types of records which staff may routinely for example when new versions of the document are introduced.
0.0.3	Duplicated records	**Copies** of financial and personnel records which are also retained by Finance and Personnel teams for the appropriate time. Examples include: • Invoices • Details of sick leave	Destroy when no longer required for administrative use, as the same information will be retained for the relevant period in another section.	Appropriate records will be retained by Finance and Personnel.

Ref	Function Description	Examples of Records	Fate of Records	Notes/Comments
1	**Democratic Processes**	**Back to Index**		
1.1	**Elections**	**Back to Index**		
1.1.1	Local elections Paper documents	• Ballot papers • Account of spoilt papers • Tendered votes lists • Marked copies of register of electors	Destroy **12** months from close of poll	Statutory The Scottish Local Government Elections Order 2007, Section 59
1.1.2	Local elections Electronic documents	Copy of all information from the electronic counting system	Destroy **4 years** from date of election	Statutory The Scottish Local Government Elections Order 2007, Section 59
1.2	**Council and Committee Meetings**	**Back to Index**		
1.2.1	The process of preparing business for Council consideration and making the record of discussion, debate and resolutions	• Council minutes, agenda and business papers • Council notice papers and proceedings • Committee minutes, agenda and business papers • Standing orders	**Signed minutes** to be retained permanently as vital records. C + 6 then offer papers to archive when no longer required for business reasons. Contact Records management team to arrange transfer.	Local Government (Access to Information) Act 1985 requires public access to be available for 6 years. Papers available on Council web-site. Pink Papers may need to be extracted before offering to archivist.
1.2.2	Minute taking	• Draft/rough minutes • Audio tapes	Destroy after date of confirmation of the minutes	Once minutes are agreed there is no need to retain this information. Retaining these notes may cause FoI or Data Protection difficulties.

Ref	Function Description	Examples of Records	Fate of Records	Notes/Comments
1.3	**Partnership, Agency and External Meetings**	**Back to Index**		
1.3.1	The process of preparing business for partnership and agencies consideration and making the record of discussion, debate and resolutions, where the local authority legally **owns** the record	• Documents establishing the committee • Agendas, minutes, reports • Supporting documents such as Council briefing and discussion papers • Community Planning	C + 6 then offer to archivist. Agendas minutes and reports are of interest to archivist. Transfer when no longer required for business reasons. Contact Records management team to arrange transfer.	Groups established by the Council Papers may need to be extracted before offering to archivist.
1.3.2	The process of preparing business for external committees' consideration, and making the record of discussion, debate and resolutions, where the local authority **does not** own the record.	• Agendas, minutes, reports • Supporting documents such as briefing and discussion papers • Police Board • SPT • Strathclyde Fire & Rescue	Destroy C + 3	Groups we are invited to join. We expect others to be responsible for any long-term retention.
1.3.3	The process of supporting Community Councils	• Establishing community councils • Agendas, minutes	Maintain for two full administration cycles (8 years) Transfer papers to archive when no longer required for business reasons. Contact Records management team to arrange transfer.	Community Councils are asked to supply copies of minutes to the Council.

Ref	Function Description	Examples of Records	Fate of Records	Notes/Comments
1.3.4	The process of preparing of honours submission	• Honours nomination form • Covering documentation • Letters of support • Referral for comment from lord lieutenant	Destroy C + 5	
1.4	**Elected Members**	**Back to Contents**		
1.4.1	The processing of members' fees and expenses and recording receipt of gifts and hospitality.	Elected members' • Allowances & Pay • Expenses • Gifts • Hospitality • Interests	Financial information will be held in Finance as per Section 7. Other records retained T + 10 from date Member leaves office. Review for Archival value.	The Local Government etc. (Allowances)(Scotland) Regulations 1995 require councils to keep a record of payments made to Members and to publish the information for the preceding year by 1 June. Business Requirement recommended by SCARRS
2	**Management and Administration**	**Back to Contents**		
2.1	**Corporate Planning And Reporting**	**Back to Contents**		
2.1.1	The corporate planning and reporting activities of local authorities	• Corporate Plans • Strategy Plans • Business Plans • Annual Reports	C + 6 then offer to archivist. Transfer papers to archive when no longer required for business reasons. Contact Records management team to arrange transfer.	Final documents. Many are published in council web-site.

Ref	Function Description	Examples of Records	Fate of Records	Notes/Comments
2.1.2	The process of preparing business for strategic consideration and making the record of discussion, debate and resolutions	Corporate Management Team • Agendas • Papers • Minutes Member Officer Working Groups • Agendas • Papers • Minutes	C + 6 then offer to archivist. Transfer papers to archive when no longer required for business reasons. Contact Records management team to arrange transfer.	Papers may need to be extracted before offering to archivist.
2.1.3	The process of preparing business for Unit/Team consideration and making the record of discussion, debate and resolutions	Departmental, Service or other Team meetings • Agendas • Papers • Minutes	Destroy C + 3	Internal meetings
2.2	**Statutory returns**	**Back to Contents**		
2.2.1	The process of preparing information to be passed on to central government as part of statutory requirements	• Reports to central government • Statutory Performance Indicators	Destroy C + 7	
2.3	**Policy, Procedures, Strategy and Structure**	**Back to Contents**		
2.3.1	Activities that develop policies, procedures, strategies and structures for the local authorities	• Policy, procedure, precedent, instructions • Organisation charts Records relating to policy implementation and development • Education plan • Asset management plan • Community plan • Community safety plan	C + 6 then offer to archivist Transfer: • Policies and procedures • Organisation charts • plans to archive when no longer required for business reasons. Contact Records management team to arrange transfer.	

Ref	Function Description	Examples of Records	Fate of Records	Notes/Comments
2.3.2	The process of monitoring and reviewing strategic plans, policies or procedure to assess their compliance with guidelines	Reviews of • Education plan • Asset management plan • Community plan • Community safety plan	Destroy C + 5	
2.4	**Public Consultation**	**Back to Contents**		
2.4.1	The process of consulting the public and staff in the development of significant policies of the local authority		Destroy C + 5	
2.4.2	The process of consulting the public and staff in the development of minor policies of the local authority		Destroy C + 1	
2.5	**Information Management**	**Back to Contents**		
2.5.1	The activity whereby standards, authorities, restraints and verifications are introduced and maintained to manage information effectively	• Classification schemes • Registers • Indexes	C + 6 then offer to archivist Transfer classification scheme papers to archive when no longer required for business reasons. Other documents to be appraised. Contact Records management team to arrange transfer.	
2.5.2	The management of collections of records for administrative use	• Information asset registers • Master retention schedule	Destroy C + 3	
2.5.3	The process that records the disposal of records	• Disposal certificates • Disposal logs	Destroy C + 12	based on Limitation Act

Ref	Function Description	Examples of Records	Fate of Records	Notes/Comments
2.5.4	The management of Freedom of Information requests	• Requests and responses • Logs • Publication Scheme	Destroy C + 3	based on legal requirements in Freedom of Information (Scotland) Act 2002
2.6	**Enquiries and Complaints**	**Back to Contents**		
2.6.1	The management of detailed responses to enquiries, submissions and complaints on council actions, policy or procedures	• Reports • Returns • Correspondence • Ombudsman	Destroy C + 6	
2.6.2	The management of routine responses on council actions, policy or procedures	• Printed material • Form letters	Destroy C + 2	
2.7	**Quality and performance management**	**Back to Contents**		
2.7.1	The process of monitoring or reviewing the quality, efficiency, or performance of a local authority service or unit	Best Value Review	Destroy C + 5	
2.7.2	The process of assessing the quality, efficiency, or performance of a local authority service or unit	Assessment form	Destroy C + 2	
2.8	**Public & media relations, publications and marketing**	**Back to Contents**		
2.8.1	The published work of the local authority		One copy should be offered to archive. Contact Records Management to discuss.	

Ref	Function Description	Examples of Records	Fate of Records	Notes/Comments
2.8.2	Process of interaction with the media	• Press releases • Press conference reports • Correspondence with media	Destroy C + 3	(Routine press cuttings should be destroyed regularly as part of standard operating procedures)
2.9	**Civic and Royal Events**	**Back to Contents**		
2.9.1	The recording of ceremonial events and civic occasions	• Visitors' book • Audio tapes • Video tapes • Photographs	C + 6 then offer to archivist Of interest to archivist. Transfer when no longer required for business reasons. Contact Records management team to arrange transfer.	
2.9.2	The process of organising a ceremonial event or civic occasions		Destroy C + 7	
3	**Client Services**	**Back to Contents**		
3.1	**Children's Services and Child Protection**	**Back to Contents**		
3.1.1	Processes relating to the operation of children's residential units	• Log books • Unit diaries	Destroy C + 75	

Ref	Function Description	Examples of Records	Fate of Records	Notes/Comments
3.1.2	Process involving individual case management of children looked after by the local authority. This includes children and young people: 1. Adopted via the local authority 2. In children's home 3. Fostered by local authority 4. On custodianship orders 5. On residence orders	• Young persons being looked after files • Looked after children client files • Residential care children's file • Adoption files • Privately fostered children's file • Guardian CAFCASS files • Guardian ad litem	Destroy 75 years from 18th Birthday	Statutory basis
3.1.3	Children and young people subject to supervision orders		Destroy 75 years from 18th Birthday	
3.1.4	Process involved in checking the suitability of people to become adoptive parents or foster carers	• Adoptive parent counselling files • Approved adopters	Destroy C + 25	
3.1.5	Process involving individual case management of families or adults who have fostered children in their care	• Foster carer files • Supported lodging files	Destroy C + 25	
3.1.6	Process involving summary case management of children under the protection of local authority.	Child Protection Register	Destroy C + 75	

Ref	Function Description	Examples of Records	Fate of Records	Notes/Comments
3.1.7	Process involving summary case management of adults convicted of Schedule 1 offences	Schedule 1 offenders	Destroy C + 75	
3.1.8	Process involving individual case assessment, investigation, registration, and management of children involved in child protection: a) investigated, conferenced and registered b) core assessment c) investigated but not conferenced and registered	Child protection case files which have a) Conference minutes b) Core assessment c) Investigation d) Registration	Destroy C + 35	
3.1.9	Process involving individual cases involving initial assessment and provision of advice in regards child protection	Child protection files a) Initial assessment b) Advice only	Destroy C + 35	
3.1.10	Children in need (who have not been adopted or looked after and who have not been the subject of a child protection inquiry)		Destroy C + 10	
3.1.11	Process involving individual case management of services or support to unaccompanied minors (eg Asylum Seekers) if not “looked after”		Destroy C + 10	

Ref	Function Description	Examples of Records	Fate of Records	Notes/Comments
3.1.12	Process involving individual case management of services or support to youth.	• Youth Service client files • Youth Justice	Destroy 25 years from DOB or C + 10 Whichever is later	
3.2	**Family Support**	**Back to Contents**		
3.2.1	Process involving individual case management in the provision of support by the local authority to families	• Parenting skills • Special education • Attendance records • Project files	Destroy C + 10	
3.2.2	Process involved in assessing a family's suitability in the care of children		Destroy 25 years from DOB of youngest child	
3.3	**Adult and Elderly Case Files**	**Back to Contents**		
3.3.1	Process involving in assessing and providing individual support for people with mental illness or requiring protection.	• Guardianship • Adults with Incapacity • Compulsory Treatment Orders • Mental Health files • Adult Protection files	Destroy C + 75	

Ref	Function Description	Examples of Records	Fate of Records	Notes/Comments
3.3.2	Process involving in assessing and providing individual support or services for all other people	• Day service provision • Learning disability • Physical disabilities • Sensory disability • Rehabilitation and discharge • Communication support • Drug and alcohol misuse • Occupational therapy • Home care • Community Service records • Criminal Justice files	Destroy C + 10	
3.4	**Residential Homes**	**Back to Contents**		
3.4.1	Summary management systems that manage children/adults housed by the local authority	• Children's/adults home Registers • Admissions registers • Discharge registers	Of interest to Archivist for permanent retention. Contact Records Management team to discuss when records no longer needed for administrative use.	
3.4.2	Documents relating to the operation of the establishment (not involving Children)	• Diaries • Rotas • Daily logs • Secure unit records •	Destroy C + 25	For establishments involving Children see 3.1.1
3.5	**Housing Provision**	**Back to Contents**		
3.5.1	The registration of individuals housing applications	Cancelled housing applications	Destroy C + 5	For successful applications, details go into tenancy files. See 3.5.3

Ref	Function Description	Examples of Records	Fate of Records	Notes/Comments
3.5.2	The process for applying for council housing	• Council housing Application forms and supporting material • Application for transfer of tenancy and supporting papers • Mutual exchange requests	Destroy T + 5	(Unsuccessful applications only, successful applications will generally be placed on the tenancy file)
3.5.3	The process for managing the tenancy of an individual tenant	• Correspondence re tenancy • Tenancy files • Council housing Application forms and supporting material • Application for transfer of tenancy and supporting papers	Destroy T + 5	
3.5.4	The process of maintaining Gas certificates	Gas maintenance records	Destroy C + 4	Gas Safety (installation and use) Regulations 1996 amended 1998
3.5.5	The processing of grants for private housing	Private Sector Grants	Destroy C + 4	Housing (Scotland) Act 2001
3.5.6	Housing Options and Housing Repairs	• Tenancy Support records • Homeless persons' case files • Property maintenance records • Property repair history • Common repairs	Destroy C + 5	

Ref	Function Description	Examples of Records	Fate of Records	Notes/Comments
3.6	**Education**	**Back to Contents**		
3.6.1	The process of managing the education of an individual pupil	Pupil Education records	T + 5 Records must be kept for 5 years after pupil has left school	The Pupils' Educational Records (Scotland) Regulations 2003
3.6.2	Admission registers		C + 6 Of interest to Archivist for permanent retention. Contact Records Management team to discuss when records no longer needed for administrative use	
3.6.3	Process involving in assessing and providing individual support for children who have been identified as having additional support needs and also meet the criteria for a CSP	Coordinated Support Plans	C + 5 Keep for 5 years after the end of the plan.	The Additional Support for Learning (Co-ordinated Support Plan) (Scotland) Amendment Regulations 2005
3.6.4	The process of managing the psychological assessment and provision of an individual pupil.	Psychological Services Case Files	T + 5 Keep for 5 years after pupil leaves school.	The Pupils Educational Records (Scotland) Regulations 2003

Ref	Function Description	Examples of Records	Fate of Records	Notes/Comments
3.6.5	Placing Requests	Applications for school placing request.	C + 2	Business Requirement
3.7	**Health Promotion**	**Back to Contents**		
3.7.1	Process involving in assessing and providing individual support or services for all other people	Lifestyle referrals • Referral forms • Medical details • Learning disabilities • Sensory disability • Drug and alcohol consumption • Visit log sheets • Appointment diaries	Destroy C + 10 (electronic copy)	Paper copies destroyed when no longer required for administrative purposes.
4	**Legal and Contracts**	**Back to Contents**		
4.1	**Litigation**	**Back to Contents**		
4.1.1	The process of managing, undertaking or defending for or against litigation on behalf of the local authority	Criminal case file	Destroy C + 1	Based on guidance from Law Society Scotland
4.1.2		Childcare case file	Destroy C + 7	Based on guidance from Law Society Scotland
4.1.3		Civil case file Court Decrees [paid in full]	Destroy C + 5	Based on guidance from Law Society Scotland / Business requirement

Ref	Function Description	Examples of Records	Fate of Records	Notes/Comments
4.1.4		Reparation case file	Destroy C + 10 Major litigation – May be of interest to Archivist. Contact Records Management team to discuss when records no longer needed for administrative use	Based on guidance from Law Society Scotland
4.1.5		litigation correspondence	Destroy C + 3	
4.1.6		Court Decrees [outstanding debts]	Destroy C + 20	Based on Prescription and Limitation (Scotland) Act 1973
4.2	**Advice**	**Back to Contents**		
4.2.1	The process of providing legal advice on a point of law		Destroy C + 3	
4.3	**Agreements**	**Back to Contents**		
4.3.1	Process of agreeing terms between organisations **Note :** this does not include contractual agreements	Concordat	Destroy T + 10	Based on Standing Orders for contracts
4.4	**Conveyance** (see also **Property Management)**	**Back to Contents**		
4.4.1	The process of acquiring land or property	Conveyancing files	Destroy C + 10	Based on guidance from Law Society Scotland
4.4.2	The process of disposing of land or property	Council House Sales	Destroy C+5	Based on guidance from Law Society Scotland

Ref	Function Description	Examples of Records	Fate of Records	Notes/Comments
4.5	**Contracts and Tendering**	**Back to Contents**		This area is generally covered by Standing Orders. Depending upon the value of the contract, responsibility for maintaining records may rest with either Corporate Support (for contracts over £30000) or individual Departments for contracts of lesser value
4.5.1	The process of calling for expressions of interest	Expressions of Interest	Destroy C + 5	
4.5.2	The process involved in the issuing and return of a tender	• Opening notice • Tender envelope	Destroy 1 year after start of contract	
4.5.3	Register of tenders		Summary details maintained electronically in Procurement Team, without limit of time.	EAC Standing Orders

Ref	Function Description	Examples of Records	Fate of Records	Notes/Comments
4.5.4	Successful tender document	• Tender documents • Tender record sheet • Quotations • Evaluation criteria • Signed contract • Service Level Agreements • Compliance reports • Performance reports • Minutes and papers of meetings • Changes to requirements • Variation forms • Extension of contract • Complaints • Disputes on payment	Destroy T + 6 (on termination of successful contract)	EAC Standing Orders
4.5.4	Unsuccessful tender documents	• Tender documents • Quotations • Evaluation criteria	Destroy T + 6 (on termination of successful contract)	EAC Standing Orders
5	**Statutory Services**	**Back to Contents**		
5.1	**Births Deaths and Marriages Registration**	**Back to Contents**		
5.1.1	Process of the summary registration of a birth, death or marriage	• Deaths register • Births register • Marriage register	Records kept permanently by Registrar as always needed for business use.	
5.1.2	Process of certification of the registration of a birth, death or marriage	• Birth certificate • Death certificate • Marriage certificate	Destroy C + 3	
5.1.3	Process of conducting a marriage service		Destroy C + 3	

Ref	Function Description	Examples of Records	Fate of Records	Notes/Comments
5.1.4	Process of notification in relation to birth, death or marriage	• Wedding banns • Notice of marriage	Destroy C + 3	
5.2	**District Court**	**Back to Contents**		
5.2.1	District Court administration records	• Traffic fines	Destroy C + 6	
6	**Human Resources**	**Back to Contents**		
6.1	**Personnel administration**	**Back to Contents**		
6.1.1	Human Resources Information Systems (electronic) that allow the monitoring and management of employees.	• Cyborg records • Cognos records • Structure Charts • Statistical data reports • Management Information • Employment Register – Temporary Staff • Employment Register – Casual Staff	Destroy when no longer required for business use.	Much of the contents will be personal information. To comply with the Data Protection Act 1998 we must not keep it longer than necessary for business use.
6.1.2	The process of administering Project Work	• Job Evaluation • Pay & Grading • Revised Policy	Destroy T + 3	Much of the contents will be personal information. To comply with the Data Protection Act 1998 we must not keep it longer than necessary for business use.
6.1.3	Employee Relations Filing Systems	• Employee Personnel files including: Occupational Health Reports, Employee Counselling Service Reports, Disclosure Forms	Destroy T + 30	Retain in office for duration of employment T + 2 years then transfer to records management.

Ref	Function Description	Examples of Records	Fate of Records	Notes/Comments
6.1.4	The processing of routine employment-related matters Employment Related	Correspondence on general employment issues	Destroy C + 3	
6.2	**Industrial Relations**	**Back to Contents**		
6.2.1	Industrial relations issues.	• Local agreements and awards eg. Homecare Review, Cleansing Service Efficiency Payment etc • Negotiations • Disputes • Claims lodged	Review C + 5	Much of the contents will be personal information. To comply with the Data Protection Act 1998 we must not keep it longer than necessary for business use.
6.2.2	Liaison processes of minor and routine industrial matters	Daily industrial relations management	Destroy C + 2	
6.2.3	Processing of disciplinary and grievances investigations where proved	• Disciplinary • Grievance	Destroy: Oral Warning – 6 months Written Warning - 1 year Final Warning - 18 months The above warnings to be removed & destroyed after the relevant time has 'spent'. **Warnings Involving Children** – Placed on personal file permanently	For all practical purposes this function would not be subject to records management, except for Warnings Involving Children, which remain on the personal file permanently for reference purposes

Ref	Function Description	Examples of Records	Fate of Records	Notes/Comments
6.2.4	Processing of disciplinary and grievances investigations where unfounded	• Disciplinary • Grievance	Destroy immediately after the grievance has been found to be have been unfounded; or after appeal **Allegations Involving Children or vulnerable individuals** – Summary record to be retained on confidential personnel file, and a copy given to the person concerned	There are some exceptions to this where for its own protection the employer has to keep a limited record that an allegation was received and investigated, for example, where the allegation relates to abuse and the worker is employed to work with children or other vulnerable individual.
6.3	**Equal Employment Opportunities**	**Back to Contents**		
6.3.1	Recruitment & Selection	• Advertisement • References • Shortlisting • Interview sheets • Criminal Convictions • Health Questionnaire • Unsuccessful letters	Destroy **6 months** after recruitment has been finalised. For all practical purposes this function would not be subject to records management.	HR Policy The Chair of the Interview Panel is responsible for retaining and then destroying these records.
6.3.2	Processing of Equality / Diversity / Equal Employment Opportunities investigations.	Equal Pay Records	Destroy C + 10	

Ref	Function Description	Examples of Records	Fate of Records	Notes/Comments
6.3.3	Process of monitoring staff leave and attendance	• Sick leave (P) • Jury service (P) • Study leave (P) • Special and personal leave (P) • Attendance cards (P) • Flexitime sheets (D) • Leave applications (D) • Annual leave (D)	Destroy C + 2	For items marked (P), Personnel will retain the documents for the required retention period. Others may destroy their copy as per SOP 0.3 For all items marked (D), individual teams have responsibility for retaining the information as per this retention schedule. Details of claims involving payments, for example overtime or expenses are covered elsewhere. See section 7.5.1
6.3.4	The process of termination of staff through voluntary redundancy, dismissal and retirement	• Resignation • Redundancy (Section 188) • Dismissal • Death • Retirement	Destroy T + 6	If a pension is paid then records should be destroyed 6 years after last payment of pension
6.4	**Occupational Health**	**Back to Contents**		
6.4.1	The process of checking and ensuring the health of staff	• Health questionnaire • Medical clearance • Adjustment to work place • Restrictions • Recommendations	Destroy **75** years after DOB	
6.5	**Training & Development**	**Back to Contents**		
6.5.1	Training Records	• Personnel Training records • Further education training files	Destroy C + 2	

Ref	Function Description	Examples of Records	Fate of Records	Notes/Comments
6.5.2	Training Material	• Equal Opportunities Monitoring form • Course Evaluation form	Destroy C + 2	Required or reporting purposes
6.5.3	Corporate Systems to monitor corporate training.	• Generic Training database (all training other than IT) • IT Training database • FE Records database	Destroy C + 3	Mush of the contents will be personal information. To comply with the Data Protection Act 1998 we must not keep it longer than necessary for business use.
6.5.4	Further Education Student Expense Claims	• Travel Expenses • Book Expenses • Fees	Destroy C + 2 (Destroy 2 years after end of course)	
6.5.5	Training – proof of completion	• Externally accredited training records • Attendance sheets for all event organised/delivered by Corporate Training	Destroy C + 3	
6.5.6	Routine staff training processes, (not occupational health and safety or children related)	• Course individual staff assessment	Destroy C + 2	
6.5.7	Training	• training register	Destroy C + 35	
6.5.8	Training (occupational health and safety training)	Attendance records	Destroy C + 50	Individual course assessment records should be destroyed once the training has been renewed every 3 years

Ref	Function Description	Examples of Records	Fate of Records	Notes/Comments
7	**Financial Management**	**Back to Contents**		
7.1	**Financial Strategy & Policy**	**Back to Contents**		
7.1.1	Records showing the development of the Council's mid to long term financial strategy	• Budget Strategy • Reserves Policy • Treasury Strategy • Financial Regulations • Accounting Policy Bulletins	Retain until superseded (May be of interest to Archivist – contact Records Management to discuss when no longer active.)	
7.1.2	Records showing the development of plans to Implement the Council's Financial Strategy	• Annual Revenue Estimates • Estimate Working Papers • Rent Setting Papers • 3 Year Capital Plans • Council Tax Strategies	Destroy C+6	
7.2	**Budgets & Estimates**	**Back to Contents**		
7.2.1	The process of finalising the Council's annual revenue and capital estimates	• Final Revenue & Capital Estimates • Final Rent Levels • Council Tax	Destroy C+6	Only final version and full supporting documentation needs to be retained.
7.2.2	The process of developing the annual revenue & capital estimates	• Draft Budgets • Departmental Estimates • Growth and efficiency Submissions	Destroy C+3	
7.2.3	The process of developing the annual revenue & capital estimates	• final working papers	Destroy C+6	

Ref	Function Description	Examples of Records	Fate of Records	Notes/Comments
7.2.4	The process of reporting which examines the actual budgetary performance in respect of revenue and capital expenditure and income	• Budgetary Control Reports • Period end accrual statements • Period end Working Papers • Journal Entries • Period end Ledger Prints • Virements	Destroy C+3	
7.3	**Statutory Financial Reporting**	**Back to Contents**		
7.3.1	The processes that consolidate the financial transactions of the Council on an annual basis for statutory accounting.	• Consolidated Financial Statements • Charity & Bequests Accounts • Common Good Accounts	Of interest to Archivist – contact Records Management to discuss when no longer active	
7.3.2	The processes that contribute to the consolidation of final accounts and financial transactions	• Balance Sheet Reconciliations • Accrual Journals & Back Up Files • Annual accounts working papers • Annual Grant Claims • General Ledger Year End Prints • Council Tax, NDR, Community Charge, Council House rent reconciliations and supporting information	Destroy C+6	European & other claims subject to specific grant conditions

Ref	Function Description	Examples of Records	Fate of Records	Notes/Comments
7.4	**Treasury Management**	**Back to Contents**		
7.4.1	The process of managing the borrowing and investments of the Council	• Loan Term Loans Register	May be of interest to Archivist – contact Records Management to discuss when no longer active	Some loans may have a term of up to 70 years, so long-term retention needed
7.4.2	The process of managing the borrowing and investments of the Council	• Temporary Loans • Investment Register • Loan authorisations	Destroy C+3 (after maturity)	
7.4.3	The process of accounting for VAT and other statutory tax	• VAT Returns • Income Tax Returns • Tax deducted from Investments • Certificates of Interest • Other Tax Records	Destroy C+6	Statutory VAT Act (1994). Taxes Management Act 1970
7.4.4	Leasing Etc	• Operating Lease Agreements • Finance Lease Agreements • Hire Purchase/Deferred Purchase Agreements	Destroy C+3 (after expiry)	
7.4.5	Debt charges	Debt Charges	Destroy C+6	
7.5	**Payroll**	**Back to Contents**		

Ref	Function Description	Examples of Records	Fate of Records	Notes/Comments
7.5.1	Processes relating to the payment of employees and Councillors	• Overtime Claims • Expenses Claims • Payroll System Prints • P60 • P45 • Sickness/SSP/SMP Forms • Arrestments • Amendment Prints • Payroll deduction authorities	Destroy C+6	Statutory as per HM Revenues & Customs Where staff complete overtime or expenses forms and their Service submits summary details to Finance, the Service should retain the prime record for c + 6.
7.5.2	Processes relating to the administration of superannuation and pensions.	• Certificate of Protection • Superannuation Forms • P35 • Records documenting scheme contributions • Records covering pay and service	Destroy C+10	Limitations Act 1980 (c.58) Industry Best Practice
7.6	**Payments**	**Back to Contents**		

Ref	Function Description	Examples of Records	Fate of Records	Notes/Comments
7.6.1	The process of paying suppliers and contractors for goods and services provided to the Council	• Creditor Invoices (F) • Cheque/Payment Requests (F) • CIS (F) • Bank Reconciliations (F) • Cheque Reconciliations (F) • Cancelled Cheques (F) • Corporate Credit Card Statements (F) • Credit Card Statements (F) • Creditor Notes (F) • Authorised Signatories (F&D) • Petty Cash Reconciliations (F&D) • Authorised Imprest Holders (F&D) • Work Orders (D) • Purchase Orders (D) • Delivery Notes (D) • Good Received Notes (D) • Imprest Documentation (D) • Petty Cash Records (D)	Destroy C+6	For items marked (F), Finance will retain the documents for the required retention period. Others may destroy their copy as per SOP 0.3 For items marked (F & D), departments will hold their information, while Finance will have similar details for the whole council. Departments may destroy their copies in accordance with SOP 0.2 For all items marked (D), individual teams have responsibility for retaining the information as per this retention schedule.
7.7	**Income & Debt Management**	**Back to Contents**		

Ref	Function Description	Examples of Records	Fate of Records	Notes/Comments
7.7.1	The process of identification of the receipt, control and write off of public monies.	• Receipt Books • Bank Statements • Subsidiary Ledgers & Financial Systems • Journals • Vouchers • Daily Income Summaries • Debtor Accounts • Income Management Reports • Grant Claim Records • Outstanding Debts • Register of Debts written off	Destroy C+6	Statutory VAT Act (1994)
7.7.2	The process of recovering outstanding sundry debts	• Outstanding Debts • Register of Debts written off	Destroy C+6 Applicable to accounts paid in full **with no** outstanding debt	
7.7.3	Debt Recovery	Summary Warrants Accounts with Outstanding Liability	Destroy C + 20 Applicable to accounts **with** outstanding debt	Prescription and Limitation (Scotland) Act 1973
7.8	**Bank Accounts**	**Back to Contents**		

Ref	Function Description	Examples of Records	Fate of Records	Notes/Comments
7.8.1	The processes associated with the management of all Council bank accounts	• Used Manual Cheque Books/Stubs for all relevant accounts • Cancelled/Dishonoured Cheques • Stoppage of Cheques • Cheque Reconciliations • Unpaid/Returned Cheques • Paid/Presented Cheques • Bank Statements • Certificates of Balance • Bank Reconciliations • Requests to open/close accounts	Destroy C+6	
7.9	**Non Domestic Rates and Council Tax**	**Back to Contents**		
7.9.1	The activity of corresponding with ratepayer and Council Tax Payers in relation to rates and charges; objections; submissions; appeals; discounts; reliefs & remissions and other related matters	• Notices Objections • Applications • Correspondence • Appeals • Tenancy Amendments • Requests for Information • Reports • Warrant Petitions • Direct Debit Mandates • Telephone Recordings	Destroy T + 6 Applicable to accounts paid in full **with no** outstanding liability	Original document scanned to COMINO and retained for 2 months. Scanned images retained for recommended period.

Ref	Function Description	Examples of Records	Fate of Records	Notes/Comments
7.10	**Counter Fraud & Interventions (Benefits)**	**Back to Contents**		
7.10.1	Benefit Fraud Investigation Notebooks	• Phone Call Logs • Visit Logs	Destroy C +5	
7.10.2	The process of investigating benefit claims, which result in no fraud being identified	• Reports/Notifications of Fraud	Destroy C+1	
7.10.3	The process of investigating benefit claims which result in sanctions being imposed	• Reports/Notifications of Fraud • Sanctions	Destroy C+3	
7.10.4	The process of investigating benefit claims which result in prosecutions	• Prosecution Files • Tapes/Notes etc • Interviews Under Caution	Destroy C+7	
7.10.5	National Fraud Initiative (NFI)	• Referrals	Destroy C+5	

Ref	Function Description	Examples of Records	Fate of Records	Notes/Comments
7.11	**Housing Benefit**	**Back to Contents**		
7.11.1	Processes to record personal details & eligibility of those persons in receipt of Housing Benefit	• Personal Details • Evidence of identity • Documents returned to owner. • Claim file/forms & supporting documents • Overpayment account information • Landlord History • Discretionary Housing • Payments • Pre-tenancy determination documents • Entitlement to Benefits calculations	Destroy T + 6	
8	**Asset Management**	**Back to Contents**		
8.1	**Summary Asset Management**	**Back to Contents**		
8.1.1	Summary management reporting on the overall assets of the local authorities	• Schedules of acquisitions • Consolidated current asset reports • Annual reports • Summary of current assets • Asset registers	May be of interest to Archivist. Contact Records Management team to discuss when records no longer needed for administrative use.	
8.1.2	Management systems that allow the monitoring & management of assets in summary form	Subsidiary asset registers	Destroy C + 7	

Ref	Function Description	Examples of Records	Fate of Records	Notes/Comments
8.1.3	Process of reporting and reviewing assets status	• Routine returns and reports on asset status • Inventories • Stocktaking • Surveys of usage • Stock issues • Acquisition and disposal reports & proposals	Destroy C + 2	
8.1.5	Management of the acquisition (by financial lease or purchase) and disposal (by sale or write off) process for assets	• Legal documents relating to the purchase/sale • Particulars of sale documents • Board of survey • Leases • Applications for leases, licences & rental revision • Certificates of approval	Destroy C + 6 For transactions under £50,000 Destroy C + 12 For transactions over £50,000	Statutory?
8.2	**Asset Maintenance**	**Back to Contents**		
8.2.1	The process of maintaining plant and equipment	• Service records • Plant files	Destroy C + 7	
8.2.2	The process of maintaining assets	• Ground maintenance • Cleaning • Painting	Destroy C + 7	

Ref	Function Description	Examples of Records	Fate of Records	Notes/Comments
8.3	**Property Management**	**Back to Contents**		
8.3.1	Reports to management on overall property of the local authority	• Consolidated property & buildings annual reports • Summary of leased property • Summary of local authority's owned property • Site register • Register of leases	Of interest to Archivist. Contact Records Management team to discuss when records no longer needed for administrative use.	
8.3.2	Management of the acquisition (by financial lease or purchase) process for real property	Plans	Retain for life of property or building plus 12 years. T + 12 Offer material re major/significant properties to **Archivist for review**	
8.3.3	Management of the disposal (by sale or write off) process for real property	• Legal documents relating to the sale • Particulars of sale documents • Board of Survey • Tender documents • Conditions of contracts	Destroy C +15 Offer material re major/significant properties to Archivist for review Contact Records Management team to discuss when records no longer needed for administrative use.	
8.3.4	Management - buildings and estates of "special interest"	• Project specifications • Plans • Installation manuals • Certificates of approval	Plans and certificates of approval of interest to Archivist. Contact Records Management team to discuss when records no longer needed for administrative use.	

Ref	Function Description	Examples of Records	Fate of Records	Notes/Comments
8.3.5	Management - all other buildings and estates	• Project specifications • Plans • Installation manuals • Certificates of approval	Retain for life of property or building. T Plans and certificates of approval of interest to Archivist. Contact Records Management team to discuss when records no longer needed for administrative use.	For **asbestos** see health and safety under **General Public Services**
8.3.6	The action process involved in the development and renovation of property	Work orders Conditions of contracts	Destroy T + 7	
8.3.7	The process of managing leased property	Lease agreements	Destroy T + 15	
8.3.8	The process of managing the occupancy of property	Requests for works, cleaning, etc.	Destroy T + 7	
8.4	**Insurance & Risk Management**	**Back to Contents**		
8.4.1	Policy Management The process of maintaining cover for insured events	• Insurance Policies • Policy Endorsements • Cover Notes • Indemnities	Permanent. Transfer to place of deposit after administrative use is concluded.	
8.4.2	Claims Management The process that records insurance claims against the Council; it's employees and Elected Members	• Employers Liability Claim Forms • Public Liability Claim Forms • Vehicle Claims • Property Claims • Other sundry claims • Correspondence	Destroy C+7 (allowing for the claimant to reach 25 years of age.)	7 years after all obligations/entitlements are concluded (allowing for the claimant to reach 25 years of age.)

Ref	Function Description	Examples of Records	Fate of Records	Notes/Comments
8.4.3	Risk Register The process of recording and managing risk within the Council	• Corporate Risk Register • Departmental Risk Register • Challenge Fund Reconciliations		
9	**General Public Services**	**Back to Contents**		
9.1	**Health and Safety**	**Back to Contents**		
9.1.1	Process of inspecting equipment to ensure it is safe	• Equipment inspection records • Portable Appliance Testing (PAT) records	Destroy T + 6	Statutory
9.1.2	Processing the geo-technical assessments of a quarry		When quarry is no longer in use consult or refer to Health and Safety Executive (HSE)	Statutory
9.1.3	Process of carrying out monitoring to ensure that the process is safe	Monitoring results	Destroy C + 3	Statutory
9.1.4	Process of monitoring of areas where employees and persons are likely to have become in contact with **asbestos**	• Property asbestos files • Health surveillance • Medical reports	Destroy C + 40	Control of Asbestos at Work Regulations 2006
9.1.5	Process of monitoring of areas where employees and persons are likely to have come in contact with **radiation**	• Radon monitoring • Health records	Destroy C + 50 or at age **75** years whichever is the greater	The Ionising Radiations Regulations 1999

Ref	Function Description	Examples of Records	Fate of Records	Notes/Comments
9.1.6	Process of monitoring areas where employees may come into contact with hazardous substances (including lead and biological agents)	• Health surveillance • Medical reports	Destroy C + 40	Control of Substances Hazardous to Health Regulations 2002 Control of Lead at Work Regulations 2002
9.1.7	Process to ensure safe systems of work		Destroy C + 1	
9.1.8	Process to assess the level of risk	Risk assessment	Destroy C + 3	Statutory
9.1.9	Processes that permit work		Destroy C + 1	
9.1.10	Process that records injuries to adults	• Incident report • Near miss report	Destroy C + 3	Social Security (Claims and Payments) Regulations 1979 Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995
9.1.11	Process that records injuries to children	• Incident report • Near miss report	Destroy C + 25	Social Security (Claims and Payments) Regulations 1979 Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995
9.2	**Emergency Planning**	**Back to Contents**		
9.2.1	Process to develop the emergency/disaster plan for the local community	Civil Emergency Plan & Out of Hours Directory	Civil Emergency Plan of interest to Archivist. Contact Records Management team to discuss when records no longer needed for administrative use.	Out of Hours directory maintained as a 'live' document.

Ref	Function Description	Examples of Records	Fate of Records	Notes/Comments
9.2.2	Process of recording the results of the test for emergency/disaster plan for the local community	Exercise reports	Destroy C + 10	
9.2.3	Activities that report on all major incidents in the local community, whether the emergency plan has been invoked or not	Incident log books De-brief reports	May be of interest to Archivist. Contact Records Management team to discuss when records no longer needed for administrative use.	
9.2.4	Activities that report on all minor incidents in the local community	Incident log books De-brief reports	Destroy C + 7	
9.3	**Registration, Certification and Licensing Enforcement**	**Back to Contents**		
9.3.1	Summary management systems that allow the monitoring & management of registration, certification and licences registration requirements in summary form		Licensing Registers of interest to Archivist. Contact Records Management team to discuss when records no longer needed for administrative use.	

Ref	Function Description	Examples of Records	Fate of Records	Notes/Comments
9.3.2	The administration of applications, registration, certification and licences in relation to local authorities' registration requirements	• Applications for animal registration • Applications for release of animals • impounded • Animal movement licences • Registers • Certificates of registration of: o taxi drivers o tattooists • Fire certification • Disabled Parking permits • Blue badge • Registration to sell poison	C + 2 Licensing Registers of interest to Archivist. Contact Records Management team to discuss when records no longer needed for administrative use.	Statutory
9.3.3	The process involved in licensing sites for the holding or use of toxic or hazardous substances. (including petroleum, agricultural chemical products or herbicides)	• Diesel licences • Petroleum licences • Health and safety licensing • Hazardous substances • Contaminated land register/pollution	C + 60 Licensing Registers of interest to Archivist. Contact Records Management team to discuss when records no longer needed for administrative use.	
9.3.4	The process of registration of homes or carers for the care and support of children, in the responsibility of the local authority	• Organisation files • Child carers files • Childcare registration • Day care registration • Children's home	Destroy T + 25	

Ref	Function Description	Examples of Records	Fate of Records	Notes/Comments
9.4	**Notification, Investigation, Inspection and Prosecution**	**Back to Contents**		
9.4.1	The process of issuing notices to citizens with respect to particular responsibilities	• Fire Prevention notices • Fire Prevention Infringement notices • Objections to notices • Appeals against notices • Registration of premises Infringement notices • Animal Impounding notices	Destroy C + 2	
9.4.2	The process of investigation, monitoring or inspection laws in the responsibility of the local authority	• Trading standards sample and inspections records • Fire certificate compliance inspections	Destroy C + 7	
9.4.3	The process of prosecution or sanction of an individual or organisation for failing to comply with their legal responsibilities	Prosecution/sanction files	Destroy C + 7	
9.5	**Bye-Laws**	**Back to Contents**		
9.5.1	The process of making local laws	• Master Set of bye-laws • Policy Development documents • Correspondence • Submissions	Bye-laws of interest to Archivist. Contact Records Management team to discuss when records no longer needed for administrative use.	
9.5.2	The process of administering and enforcing bye-laws	Applications and permits for the employment of children	Destroy C + 5	Processed by Registrars

Ref	Function Description	Examples of Records	Fate of Records	Notes/Comments
9.6	**Cemeteries**	**Back to Contents**		
9.6.1	Summary management systems that record the location of burials and identity of deceased individuals	• Register of interments • Cemetery register • Cemetery plans	Of interest to Archivist. Contact Records Management team to discuss if/when records no longer needed for administrative use. These records are also of interest to family history groups and genealogy groups/individuals	There is additional information recorded on our computer system (GOWER). Maiden name date of death etc.
9.6.2	The process of regulation of burials and cremations	• Permits • Applications • Orders	Destroy C + 5	We have permits etc covering the years before East Ayrshire this is based on operational issues in relation to searches etc
9.7	**Waste Management**	**Back to Contents**		
9.7.1	The process of arranging the collection or transportation of household waste		Destroy C + 2	
9.7.2	The process of arranging the collection or transportation of controlled waste		Destroy C + 6	
9.7.3	The summary management of sites used for the disposal of waste within the local authority		May be of interest to Archivist. Contact Records Management team to discuss when records no longer needed for administrative use.	
9.7.4	The process of the short-term storage of household waste	Transfer sites	Destroy T + 10	

Ref	Function Description	Examples of Records	Fate of Records	Notes/Comments
9.7.5	The process involved in managing the use, type and amount of waste to be disposed at a specific site	Waste site plans	May be of interest to Archivist. Contact Records Management team to discuss when records no longer needed for administrative use.	
10	**Planning and Land Use**	**Back to Contents**		
10.1	**Planning Development and Amendment**	**Back to Contents**		
10.1.1	The activity of developing a vision and strategic directions regarding existing and future land use within the Local Authority and the development of local and town centre plans	• Structure Plan • Local Plan • Town Centre plans • Unitary Development plans	C + 6 then offer to archivist Of interest to Archivist. Contact Records Management team to discuss when records no longer needed for administrative use.	
10.1.2	The activity of consultation to gain approval for the Structure Plan (Unitary Development Plans) or Local Plans including public inquiries	• Consultation documents and replies • Inquiries and objections made by members of public • Public Inquiry documents	Review after 3 years	
10.1.3	The activity of recording information on historical buildings, monuments and ecology at a specific site	• Sites and Monuments records • Ecological records • Species records • Listed buildings • Definitive maps	May be of interest to Archivist (if records not held elsewhere). Contact Records Management team to discuss when records no longer needed for administrative use.	Records may also be held by SEPA, SNH etc

Ref	Function Description	Examples of Records	Fate of Records	Notes/Comments
10.1.4	The activity of recording statistical and other data in support of plan preparation	• Retail, industrial and housing databases • Data relating to deprivation	Review C + 3 May be of interest of Archivist. Contact Records Management team to discuss when records no longer needed for administrative use.	
10.2	**Planning Regulation**	**Back to Contents**		
10.2.2	The process of regulating the planned use of land or buildings	• Stopping Up Orders • Compulsory Purchase Orders • Enforcement Orders	Destroy C + 15	
10.2.3	The activity of establishing planning scheme controls and providing for them to be amended	• Successful Waste Planning application • Successful Mineral Planning applications • Amendments to definitive map • Mineral Register • Applications for mineral extraction • Land Use surveys	C + 15 then offer to archivist Successful applications of interest to Archivist. Contact Records Management team to discuss when records no longer needed for administrative use.	
10.2.4	The process of approving building applications in relation to listed or other significant buildings	• Building files • Plans • Specifications • Correspondence • Applications • Permits • Certificates	C + 15 then offer to archivist May be of interest to Archivist. Contact Records Management team to discuss when records no longer needed for administrative use.	

Ref	Function Description	Examples of Records	Fate of Records	Notes/Comments
10.2.5	The process of receiving, considering and responding to submissions and objections to planning schemes and amendments	• Waste Planning application consultation • Mineral Planning applications consultation • Objections • Inquiries – Public etc • Archaeological: advice/conditions	C + 15 then offer to archivist Public Inquiries of interest to Archivist. Contact Records Management team to discuss when records no longer needed for administrative use.	
10.2.6	The process of approving building applications, for all other buildings	• Building files • Plans • Specifications • Correspondence • Applications • Permits • Certificates • Objections	C + 15 then offer to archivist May be of interest to Archivist. Contact Records Management team to discuss when records no longer needed for administrative use.	
10.2.7	The process of controlling development of areas through applications for planning permission	• Planning application files and plans • Correspondence relating to any objections • Hearing papers • Planning application register	Transfer planning application register to Archivist once the register has been completed (or at arranged intervals if it is held electronically) Refer all other records to Archivist for possible retention once files have been weeded.	
10.2.9	The process of maintaining the countryside and developing open spaces for public amenity	• Tree preservation orders • Country parks and nature reserves development plans and correspondence, land purchase agreements	Permanent Refer all files relating to policy to the Archivist Contact Records Management team to discuss when records no longer needed for administrative use.	

Ref	Function Description	Examples of Records	Fate of Records	Notes/Comments
10.2.10	The process of enforcing building or land regulations		Destroy C + 3	
10.3	**Building Standards**	**Back to Contents**		
10.3.1	The process of administering the legislation which control the erection, demolition, conversion, extension and alteration of buildings	Building Standards Register Part 1	Permanent	The Building (Procedure) (Scotland) Regulations 2004 Building Standards Register Part 1 shall be in electronic form and shall consist of a list of applications including details of any certificates from approved certifiers and decisions and copies of notices served under sections 25 to 30 of the Act when issued, altered or withdrawn

Ref	Function Description	Examples of Records	Fate of Records	Notes/Comments
10.3.2	The process of administering the legislation which control the erection, demolition, conversion, extension and alteration of buildings	Building Standards Register Part 2 .	Destroy C + 25 Potentially of interest to archivist. Contact Records Management team to discuss when records no longer needed for administrative use. Records of drainage layouts, contaminated land treatments and areas requiring special foundations may be required for longer periods.	The Building (Procedure) (Scotland) Regulations 2004 Building Standards Register Part 2 copy building warrants, copy completion certificates, copies of any certificates from approved certifiers submitted in support of building warrants or completion certificates, principal drawings and specifications, and all other documents submitted to the local authority for registration in the building standards register.
10.3.3	Supporting information relating to the process of administering the legislation which control the erection, demolition, conversion, extension and alteration of buildings	Building Warrant correspondence	Destroy C + 15	The Building (Procedure) (Scotland) Regulations 2004
10.4	**Project Implementation**	**Back to Contents**		

Ref	Function Description	Examples of Records	Fate of Records	Notes/Comments
10.4.1	The process of implementing projects in accord with approved plans, action area plans, or similar	• Files relating to environmental improvements • Conservation Area Regeneration Schemes • Townscape Heritage Initiative	Destroy C + 15	
11	**Infrastructure and Transport**	**Back to Contents**		
11.1	**Transport and Roads Planning and Development**	**Back to Contents**		
11.1.1	The activity of developing a vision and strategic directions regarding existing transport and infrastructure within the municipality	• TPP Policy Records • Local Plans and Action Plans • Traffic Signals & Pedestrian Crossing Records	C + 9 Local plans and policy of interest to Archivist. Contact Records Management team to discuss when records no longer needed for administrative use.	
11.1.2	The activity of recording location of highways	• Definitive map • Correspondence concerning enquiries and disputes • Road Adoption • Bus shelter database • Weight limits/bridges		Maintained as ‘live’ records

Ref	Function Description	Examples of Records	Fate of Records	Notes/Comments
11.1.3	The process of receiving, considering and responding to submissions and objections to planning schemes and amendments	• Enquiries • consultation documents • objections and correspondence	Destroy C + 9 Offer controversial/high profile schemes to Archivist	
11.1.4	The process of enforcing infrastructure and transport regulations	Notices	Destroy C + 3 if complied with C + 50 if not complied with	The Roads (Scotland) Act 1984 The New Roads and Streetworks Act 1991 Specific records not separated or necessarily filed together.
11.2	**Traffic Management**	**Back to Contents**		
11.2.1	The activity of planning, the flow, diversion or reduction of traffic	• Traffic orders • Traffic Management Schemes	Destroy C + 9	
11.2.2	The activity of providing permits for road use.	Permits • Parking • Scaffolding • Skips • Road opening	Destroy C + 4	

Ref	Function Description	Examples of Records	Fate of Records	Notes/Comments
11.2.3	Decriminalised Parking Enforcement	Vehicle registered keeper details. Keeper details obtained from DVLA	Destroy C + 5 Case closed as a result of full payment or cancellation.	Business Requirement Roads (Scotland) Act 1991, Road Traffic Regulation Act 1984 and The Road Traffic (Permitted Parking Area and Special Parking Area) (East Ayrshire) Designation Order 2012.
11.3	**Roads & Infrastructure Design, Construction & Maintenance**	**Back to Contents**		
11.3.1	The activity of planning, designing, programming and constructing roads, streets, bridges and lighting.	Drawings	Destroy C + 9	
11.3.2	The activity of providing maintenance services in relation to infrastructure within the local authority	Requests for: • Hedge Maintenance • Tree Maintenance	Destroy C + 9	
11.3.3	The activity of maintaining and repairing roads, streets, bridges and lighting.	• RALF Reports • Public Utilities - Inspections	Destroy C + 19	

Ref	Function Description	Examples of Records	Fate of Records	Notes/Comments
11.3.4	The activity of providing winter gritting services within roads and paths networks.	• Driver carriageway route information and logs • External and internal service providers footway gritting information and logs • Weighbridge receipts • Driver and vehicle check sheets	Destroy C + 5	Retention rule recommended by SCARRS. Agreed by EAC Legal, Health and Safety, Risk Insurance and ARA Maintenance Manager.
11.4	**Transport Fleet Management**	**Back to Contents**		
11.4.1	The process of managing allocations & authorisations and approvals for vehicles and drivers	• Approvals as drivers • Allocations & authorisations for vehicles	Destroy C + 5	
11.4.2	The process of recording vehicle usage, driver usage and maintenance	• Vehicle usage reports • Vehicle log book • Maintenance	Destroy C + 2	
11.4.3	The process of recording vehicle journeys	Tachograph Records	Destroy C + 1	

Key
Fate of Records - explanations

Description	Explanation
Destroy routinely	Records of no value to the council. Can be destroyed.
Destroy when no longer required for administrative use	Records of no long term value to the council. Not needed as evidence of transactions or for auditing. Can be destroyed when administrative process is complete.
Destroy (examples) **C + 5** **C + 7** **T + 10**	Records which must be retained for a certain time and then destroyed. Unless otherwise stated, retention periods are measured in years. In most cases records are retained for Financial Years, which means that they are due for destruction following 31 March of their final year. Where records are retained for other periods, for example Calendar Years or School Years this should be noted by the Service retaining the record and indicated to Records Management team when records are sent to storage. Examples are: C + 5 - retain for 5 years after the Current Year C + 7 - retain for 7 years after the Current Year (these could apply to a finance record, a policy document, a procedure, a training manual which has been superseded.) T + 10 - retain for 10 years after Termination (this could apply to termination of a contract or other agreement or employment. It may also cover the closure of a facility or care home, the sale of a building or end of a lease)
May be of interest to Archivist.	These records do not need to be kept long term for business purposes. However they may be of historical interest to archivist. The archivist may decide to retain all records or only a sample or none. Any records not selected by the archivist should be destroyed as they have no further administrative use. In the first instance you should contact Records Management who will liaise with Ayrshire Archives regarding the records. The archivist will appraise the records and determine if they (or a sample) should be kept for historical purposes. Otherwise they can be destroyed.

Back to Contents