

The retention schedules have been reformatted from separate word documents into one excel spreadsheet as this should make keeping the schedules updated easier.

If any amendments, insertions or deletions are required then please contact Dawn Waller, Corporate Records Manager on x8591

SEARCHING THE SCHEDULES

To search all the schedules at once follow these steps:

1. Press CTRL and F together. A dialog box will appear.
2. Click options and another part of the dialog box will be revealed.
3. Where the dialog box states *Within*, change the option from "Sheet" to "Workbook"
4. Change the value in the *Look In* box from "formulas" to "values"
5. Type the text you wish to search for in the *Find What* box
6. A list will appear detailing all occurrences of the chosen word. To go to a particular entry click the relevant line in the list

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RM	Risk Management & Insurance
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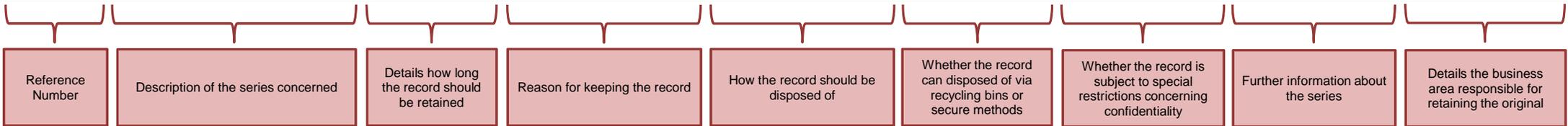
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Name of the council function

Task

Activity

REFERENCE	SERIES NAME	RETENTION PERIOD	STATUTORY PROVISIONS	DISPOSAL ACTION	METHOD OF DISPOSAL	PROTECTIVE MARKING	NOTES	OFFICIAL COPY HOLDER
Finance								
FE 1	Accounts and Statements							
FE 1 1	Final Accounts							
FE 1 1 1	Guidance and Timetable	Current financial year + 7 years	Business need (based on Limitation Act 1980)	Destroy	Recycling Disposal	Unrestricted		Finance (Corporate Accounting)
FE 1 1 2	Accounting Statement (Final and draft copies)	Current financial year + 7 years	Business need (based on Limitation Act 1980)	Transfer for historical preservation	Transfer to Local Studies	Unrestricted	Known as Annual Accounts within schools	Council: Finance (Corporate Accounting) Open Schools: Each School Closed Schools: School Place Planning and Admissions
FE 1 1 3	Accounting Statement (Supporting Information)	Current financial year + 7 years	Business need (based on Limitation Act 1980)	Review for historic value	Recycling Disposal	Unrestricted		Finance (Corporate Accounting)
FE 1 1 4	Local Authority Mortgage Advice Committee (LAMAC)	Current financial year + 7 years	Limitation Act 1980	Destroy	Secure Disposal	Restricted		Finance (Corporate Accounting)
FE 1 2	Year End							
FE 1 2 1	Timetable	Current financial year + 7 years	Business need	Destroy	Recycling Disposal	Unrestricted		Finance (Corporate Accounting)



See the Introduction page

SOLIHULL MBC RETENTION SCHEDULES

Version 1.2

Scope

Indicated within this schedule are the statutory minimum retention periods required by law within England and Wales. Where a statutory period is not indicated then a recommendation has been noted based on advice from the relevant business area, the National Archives and the Records Management Society. Additionally this schedule has been circulated to Internal Audit and Legal Services for their comment and approval. Final Approval is granted by the Director of Governance (Solicitor to the Council).

This retention schedule forms part of the retention policy for SMBC and should give consistent and clear guidance to all employees regarding the disposal of information (both electronic and paper).

General Guidance

The retention periods assigned to each record must be applied to records regardless of their format. It is the subject of the document that determines the retention period rather than the format.

Digitising Records

If you are considering digitising your records then you must ensure that you consult with the Corporate Records Manager as digitising a record does not automatically mean that the original record can be disposed of earlier than indicated within the retention schedule. There may be instances where the paper document has to be preserved.

Electronic Records

If a record has a retention period of longer than 6 years then please consider converting the electronic files to PDF/A format. This format is recommended for long term preservation and should mean that the file is available for longer than it would be if it remained within its original format. Files can be easily converted to PDF/A using later versions of Microsoft Word, Excel etc. Please contact the Corporate Records Manager for further advice.

Original Records

Records which are originals or those which are known to be the only surviving set of that particular recordset must be retained for the full retention period. If an original recordset is damaged or destroyed then please contact the Corporate Records Manager for advice.

Copy Records

Where records are duplicated across the organisation it is important to note that the retention period recommended applies only to the original copy of each set of records. Copy records should only be held whilst of business use but must be destroyed before the retention period is reached.

Review & Disposal

Review

As we have finite storage space (both electronically and physically) it is vital that we regularly review our records to ensure that only records of business value are retained.

Once a record reaches the end of its retention period the business area undertake a review process where the business carefully reviews the record and assesses whether there is a justified business need for retaining for a further period of time. The business area must ensure that the record is:-

- a.) no longer needed for business use
- b.) not subject to litigation
- c.) not subject to a subject access request under the Data Protection Act or the Freedom of Information Act
- d.) legislation affecting the record has not changed
- e.) not required for historical preservation

If the record is still required under (a), (b) or (d) then it must be retained until the business use has finally ended. Such records should be kept under regular review until the record can be safely disposed of.

If the record is required under (c) then the record must be retained until the request processes (including appeals) has been completed and six months have elapsed. A criminal offence will be committed if information subject to a freedom of information request is destroyed before being released.

If the record is required under point (e) then please notify Local Studies as soon as possible. Local Studies will then either review the record for transfer or transfer the record in its entirety to its care. Within the retention schedule such records are marked as being for:-

- a.) review for historical value

These records are of possible historical interest and should be offered to Local Studies who may or may not choose to take the records (or a sample of) based on a review of the series. Any records selected will be retained on a permanent basis by Local Studies for the sole purpose of historical research. Where personal or commercial information is concerned, an appropriate closure period will be applied.

If Local Studies choose not to take all or part of the record offered, then the record must be disposed in accordance with the guidance in the retention schedule

- b.) transfer for historical preservation

These records should be automatically transferred to Local Studies once their business use has completed. They will be preserved for their historical value (with appropriate security restrictions applied to personal/commercial information) at no cost to yourselves but cannot be retrieved for use at your desk. You will still be able to view the record but viewing can only take place within the Central Library and the record cannot be removed from there.

If the record is not required for any further business use (under points (a) to (e)) then the record must be securely disposed of using the appropriate level of security.

Methods of Disposal

It is essential that all records due for disposal are disposed of appropriately. Should records be inappropriately disposed of, then the interests of the council and its customers may be at risk. There are 3 methods of disposal marked within the retention schedule.

- a.) secure disposal
- b.) Recycling Disposal
- c.) transfer to [another organisation]

a.) SECURE DISPOSAL

Paper Records

All records containing sensitive personal, political or commercial information must be disposed of via the confidential waste bins and not through Recycling or general waste. Any records categorised with the protective marking of Restricted or above must be disposed of in this way. If records are to be shredded then it is recommended that a diamond or cross cut shredder is used.

Removable Media

All CD's, DVD's and floppy disks can be taken to the Data Protection Officer (x6251) who will arrange the confidential destruction of these records. If you have any other type of removable media (e.g. microfilm, microfiche, video film etc.) requiring destruction please contact the Corporate Records Manager for advice.

Hard Drives

Once no longer in use the hard drive must be reformatted or removed from the computer/laptop to ensure confidentiality. Data can be recovered from hard drives after reformatting until the original data is overwritten. If the drive is not to be reused then the hard drive must be destroyed.

Email

After deleting emails it is essential that you also delete the emails from your Recycling bin within Outlook. Remember that any emails held within your reCycle bin are classed as business information and can be released under the Freedom of Information or Data Protection Acts should a request be received.

Records held on the Network

Once records have been deleted from the network they will still exist on the backup tapes for a period of 30 days. During this period they could still be released for a Freedom of Information or subject access request should a request be received. Once 30 days following deletion has been reached, the backup tape will be overwritten and the record cannot be recovered.

Back up tapes

Back up tapes are overwritten on a regular basis (every 30 days). Data can be restored from these tapes (even if it becomes corrupted) and any data held on these tapes may be released under the freedom of information or data protection acts should a request be received. When the back up tape is no longer required, the casing needs to be removed with the tape being shredded.

CCTV tapes

These can be safely overwritten to remove old data

b.) Recycling Disposal

Any records which do not contain sensitive personal, political or commercial information can be disposed of via the Recycling containers found in each office. These are marked unrestricted within the schedules.

c.) TRANSFER TO [ANOTHER ORGANISATION]

a.) LOCAL STUDIES

These records are of historical interest and should be retained on a permanent basis by Local Studies for the sole purpose of historical research. Where personal or commercial information is concerned, an appropriate closure period will be applied. Only records which are marked as transfer to Local Studies and which have fully completed their business use should be automatically transferred.

b.) SUCCEEDING AUTHORITY

If SMBC ceases to exist, all records currently of business use must be transferred as a complete record to the new organisation.

All transfers to other organisations must take place as soon as possible after the SMBC business use has ended and the protective marking status given to the record must be complied with.

Routine Destruction

Certain types of information can be disposed of without referring to the schedule. Generally these records contain ephemeral or non-business information. Examples of such records are below.

Trivial or irrelevant information e.g. announcements and notices of meetings or events, message slips, requests and confirmations for booking internal services where no internal payment made

Duplicated records (ensure that no original information is destroyed)

"CC" or "BCC" emails *see email management code of practice (to be released soon)*

Copies of records held elsewhere within the council. Within this schedule the original copy holder is recorded and if you are not the named copyholder then destroy copies at the end of business use.

Non-work emails must be deleted within 30 days

Reference materials

Trade/business journals

Personal diaries, address books provided there is no business information contained.

Superseded distribution lists

Security

Protective Markings

The councils protective markings policy must be complied with. Each record within the schedule has been given a protective marking status which must be complied with. Further explanation of the markings is given at the end of this schedule.

Offsite Storage

Very few business records need to be kept within the business area for the entirety of their retention period. To free up space within the office please consider using the corporate offsite storage facility.

Archival Records

Records marked as "Review for historic value" or "Transfer for historical preservation" should be transferred (by prior arrangement only) to the Local Studies Librarian (tel: 0121 7046976) as soon as appropriate. Records which are accepted by the Local Studies Librarian will be permanently preserved for historical research purposes. Any records containing personal data will be subject to an appropriate closure period.

If you find records predating the creation of Solihull MBC then please contact the Local Studies Librarian directly.

Ownership

All records created, held or used by SMBC employees are deemed to be the property of SMBC and must remain with SMBC after employment terminates.

Liability

SMBC accepts no liability if this guidance is used by another organisation for records which are not owned by SMBC.

Amendments

Any additions or amendments to this schedule should be notified to:

Dawn Waller

Corporate Records Manager

Tel: (0121 704) 8591

Email: dawnwaller@solihull.gov.uk

Additional Notes

European Grant Records

Records relating to projects funded by the European Social Fund must be retained until 1st January 2015

Records relating to projects funded by the European Regional Development Fund must be retained until (at least) 31 December 2025

If you do not possess the correct records then you may be required to repay the original grant.

Printed copies of this document are uncontrolled and may not contain the most current information available. Reference should always be made to the Records Management intranet site to obtain current information.

REFERENCE				SERIES NAME	RETENTION PERIOD	STATUTORY PROVISIONS	DISPOSAL ACTION	METHOD OF DISPOSAL	PROTECTIVE MARKING	NOTES	OFFICIAL COPY HOLDER
ES				Education & Skills							
ES	1			Access & Inclusion							
ES	1	1		English Language Support							
ES	1	1	1	Pupil support records	Date of birth + 18 years	Business need	Destroy	Secure Disposal	Restricted		Inclusion & Access (English as an Additional Language Team)
ES	1	1	2	EAL Register	Last entry + 6 years	Business need	Destroy	Secure Disposal	Restricted		Inclusion & Access (English as an Additional Language Team)
ES	1	2		Gifted and Talented Children							
ES	1	3		Home Education							
ES	1	3	1	Summary of children receiving home education	Current academic year + 6 years	Business need	Transfer for historical preservation	Transfer to Local Studies	Confidential		Schools Improvement and Advisory Service
ES	1	3	2	Lists of potentially home educated children	End of business use	Business need	Destroy	Secure Disposal	Confidential		Schools Improvement and Advisory Service
ES	1	4		Mobility							
ES	1	5		Project Management							
ES	1	6		Pupil Records							
ES	1	7		Referral							
ES	1	8		Sensory Support							
ES	1	9		Student Support							
ES	1	10		Traveller Education							
ES	1	11		Tutors							
ES	2			Admissions							
ES	2	1		Applications							
ES	2	2		Appeals							
ES	2	2	1	Case files	Date of birth + 25 years	Business need	Destroy	Secure Disposal	Restricted		Inclusion and Access
ES	2	2	2	Appeals	(Education file TBC) Current year + 1 year		Destroy	Secure Disposal	Restricted	Statutory duty to implement an appeal process under the School Standards and Framework Act 1998	Learning & Achievement
ES	2	3		Catchment Areas							
ES	2	4		Parental Choice							
ES	2	5		Policy							
ES	2	5	1	Admissions criteria	Superseded + 5 years	Business need	Destroy	Recycling Disposal	Unrestricted	Forward 1 copy from the initial print run to Corporate Records Manager	[to be confirmed]
ES	3			Arts Services							
ES	3	1		Art & Design							
ES	3	2		Performing Arts							
ES	3	3		Tutors							
ES	4			Child Employment							
ES	4	1		Chaperones & Matrons							
ES	4	1	1	Applications to be a chaperone in a place of entertainment	Last contact + 10 years	Business need	Destroy	Secure Disposal	Restricted		Education Welfare
ES	4	1	2	Full list of approved matrons (internal use only)	Until superseded	Business need	Destroy	Secure Disposal	Restricted		Education Welfare
ES	4	1	3	Edited list of approved matrons (external use)	Until superseded	Business need	Destroy	Secure Disposal	Restricted		Education Welfare
ES	4	2		Inspections							
ES	4	3		Investigations							
ES	4	4		Licensing							
ES	5			Child Performance							
ES	5	1		Case Management							
ES	5	2		Registers							
ES	6			Curriculum Development							
ES	6	1		International Projects							
ES	6	2		National Curriculum							
ES	6	2	1	Moderation of National Curriculum and Foundation Stage Profile Assessments	Current academic year + 4 years	Business need	Destroy	Recycling Disposal	Unrestricted		Schools Improvement and Advisory Service
ES	6	2	2	Primary Strategy Self Evaluations	Current academic year + 4 years	Business need	Destroy	Recycling Disposal	Unrestricted		Schools Improvement and Advisory Service

REFERENCE				SERIES NAME	RETENTION PERIOD	STATUTORY PROVISIONS	DISPOSAL ACTION	METHOD OF DISPOSAL	PROTECTIVE MARKING	NOTES	OFFICIAL COPY HOLDER
ES	6	2	3	Secondary Strategy Visit Summaries	Current academic year + 10 years	Business need	Destroy	Recycling Disposal	Unrestricted		Schools Improvement and Advisory Service
ES	6	2	4	Secondary Strategy Strand Agreements	Current academic year + 10 years	Business need	Destroy	Recycling Disposal	Unrestricted		Schools Improvement and Advisory Service
ES	6	2	5	Secondary Strategy – Thumbnail reports	Current academic year + 5 years	Business need	Destroy	Recycling Disposal	Unrestricted		Schools Improvement and Advisory Service
ES	6	3		Out of Schools Projects							
ES	6	4		Outdoor Education							
ES	6	5		Schools Curricula							
ES	7			Educational Psychology							
ES	7	1		Assessment							
ES	7	1	1	Statutory Special Educational Needs Assessment Process Administration	Current academic year + 3 years	Business need	Destroy	Secure Disposal	Restricted		Education Psychology Service
ES	7	1	2	Statutory Assessment Reports - Working Copies	Current academic year + 1 year	Business need	Destroy	Secure Disposal	Restricted		Education Psychology Service
ES	7	2		Case Management							
ES	7	2	1	Case File	Date of birth + 35 years	Business need	Destroy	Secure Disposal	Confidential		Schools Improvement and Advisory Service
ES	7	2	2	School Files	Current academic year + 1 year	Business need	Destroy	Secure Disposal	Confidential		Schools Improvement and Advisory Service
ES	7	2	3	Cases Register	End of business use	Business need	Review for historic value	Secure Disposal	Confidential	An agreement should be reached with Local Studies to transfer all closed data on a regular basis. Leaving 5 years as a minimum interval between transfers is suggested.	Education Psychology Service
ES	7	2	4	Diary Sheets	Current academic year	Business need	Destroy	Secure Disposal	Restricted		Education Psychology Service
ES	7	2	5	Client Index Cards	Date of birth + 35 years	Business need	Destroy	Secure Disposal	Confidential		Education Psychology Service
ES	7	3		Referral							
ES	7	3	1	Initial Referral - Consultation Request Form	Current academic year + 1 year	Business need	Destroy	Secure Disposal	Restricted		Education Psychology Service
ES	7	4		Reports							
ES	7	4	1	Examination Dispensation Reports	Current academic year + 15 years	Business need	Destroy	Secure Disposal	Restricted		To 2005 Schools Improvement and Advisory Service From 2005 Held by individual schools
ES	8			Educational Welfare							
ES	8	1		Behaviour							
ES	8	2		Health Services							
ES	8	3		Free School Meals							
ES	8	3	1	Application forms	Current academic year + 6 years	Business need	Destroy	Secure Disposal	Restricted		Free School Meals Office
ES	8	4		School Attendance							
ES	8	4	1	Case files	Date of birth + 25 years	Limitation Act 1980	Destroy	Secure Disposal	Confidential		Education Welfare
ES	8	4	2	Active Cases	See applicable children's case files retention periods 1. Child adopted 2. Children in need 3. Looked after children 4. Children subject to a child protection plan 5. Special Education Needs	Business need	Destroy	Secure Disposal	Confidential		Education Welfare

REFERENCE				SERIES NAME	RETENTION PERIOD	STATUTORY PROVISIONS	DISPOSAL ACTION	METHOD OF DISPOSAL	PROTECTIVE MARKING	NOTES	OFFICIAL COPY HOLDER
ES	8	4	3	Administration	Current academic year + 2 years	Business need	Destroy	Recycling Disposal	Unrestricted		Education Welfare
ES	8	5		Student Welfare							
ES	8	6		Supporting Children							
ES	8	6	1	Case Files	Date of birth + 25 years	Business need	Destroy	Secure Disposal	Confidential		
ES	9			Employment Skills							
ES	9	1		Careers Advice							
ES	9	2		Workplace Training							
ES	10			Exclusions							
ES	10	1		Case Management							
ES	10	1	1	Appeals	Closure + 6 years	Business need	Destroy	Secure Disposal	Confidential	Statutory duty to implement an appeal process under the School Standards and Framework Act 1998	Democratic Services
ES	10	1	2	Case file	Date of birth + 25 years	Limitation Act 1980	Destroy	Secure Disposal	Confidential		Inclusion & Access team
ES	10	2		Monitoring							
ES	10	2	3	Process of monitoring the provision of the service	Once added to the database	Business need	Destroy	Secure Disposal	Confidential		Inclusion & Access team
ES	11			Grants & Awards							
ES	11	1		16-18 Support							
ES	11	1	1	Residential Bursary Fund	Current academic year + 7 years	Business need	Destroy	Secure Disposal	Restricted	Implemented from Sept 2011. Replaced the Education Maintenance Allowance. 16-18 Residential Bursary Fund Guidance (Young People's Learning Agency - June 2011) requires that hard copies of all documentation must be retained for at least 6 years.	
ES	11	2		16-19 Support							
ES	11	3		19-24 Support							
ES	12			Home to School Transport							
ES	12	1		Applications							
ES	12	1	1	Process of applying for transport from home to primary or secondary schools	Date of leaving school + 1 year	Business need	Destroy	Secure Disposal	Restricted		School Asset Support Team
ES	12	1	2	Process of applying for transport from home to college	Current financial year + 6 years	Business need	Destroy	Secure Disposal	Restricted		School Asset Support Team
ES	12	1	3	Process of refusing an application for transport from home to college (16-18 year olds)	Current year + 1 year	Business need	Destroy	Secure Disposal	Restricted		School Asset Support Team
ES	12	1	4	Appeals	Current financial year + 6 years	Business need	Destroy	Secure Disposal	Restricted		Democratic Services
ES	12	2		Case Management							
ES	12	2	1	Pupil Files	End of business use	Business need	Destroy	Secure Disposal	Restricted		
ES	12	3		Policy & Strategy							
ES	12	3	1	Policy documents	Superseded + 5 years	Business need	Destroy	Recycling Disposal	Unrestricted		
ES	13			Lifelong Learning							
ES	13	1		Adult & Community Services							
ES	13	2		Basic Skills Development							
ES	14			Management of Schools							
ES	14	1		Admissions							
ES	14	2		Emergency Contacts							
ES	14	3		General Information							
ES	14	4		Governing Bodies							
ES	14	5		Administration (Governing Bodies)							
ES	14	5	1	Administration of Governor Appointments	Current year + 1 year	Business need	Destroy	Recycling Disposal	Unrestricted		Governor Support Service

REFERENCE				SERIES NAME	RETENTION PERIOD	STATUTORY PROVISIONS	DISPOSAL ACTION	METHOD OF DISPOSAL	PROTECTIVE MARKING	NOTES	OFFICIAL COPY HOLDER
ES	14	5	2	Governor records (serving and ex-governors)	Termination of service + 25 years	Business need	Destroy	Secure Disposal	Restricted		Governor Support Service
ES	14	5	3	Updating governor records	Current academic year + 1 year	Business need	Destroy	Secure Disposal	Restricted		Governor Support Service
ES	14	5	4	School Governor Exit Survey	Current academic year + 5 years	Business need	Destroy	Secure Disposal	Restricted	Destroy original returns when information recorded on database	Governor Support Service
ES	14	6		Advice & Information (Governing Bodies)							
ES	14	6	1	Guidance development	Until superseded	Business need	Destroy	Recycling Disposal	Unrestricted		Governor Support Service
ES	14	6	2	Enquiries	Current academic year + 1 year	Business need	Destroy	Recycling Disposal	Unrestricted		Governor Support Service
ES	14	6	3	Instruments of Government Administration	Until superseded	School Governance (Constitution) (England) Regulations 2003 (No. 348)	Transfer for historical preservation	Transfer to Local Studies	Unrestricted	Offer to archives when superseded, transfer to archives when the school has closed	Schools: Each school holds their own record Council: Governor Support Service
ES	14	7		Governor Training (Governing Bodies)							
ES	14	7	1	Course Administration	Current academic year + 1 year	Business need	Destroy	Recycling Disposal	Unrestricted		Governor Support Service
ES	14	7	2	Course Development	Current academic year + 5 years	Business need	Destroy	Recycling Disposal	Unrestricted		Governor Support Service
ES	14	7	3	Feedback and evaluation	Current academic year + 1 year	Business need	Destroy	Recycling Disposal	Unrestricted		Governor Support Service
ES	14	7	4	Course fees administration	SEE FINANCE RETENTION SCHEDULE			Recycling Disposal	Unrestricted		Governor Support Service
ES	14	8		Meetings (Governing Bodies)							
ES	14	8	1	Minutes of Governors Meetings – Principal Set (signed)	Closure + 6 years	Business need	Transfer for historical preservation	Transfer to Local Studies	Unrestricted		Open Schools: Each school Closed Schools: School Place Planning and Admissions
ES	14	8	2	Minutes of Governors Meetings – Inspection Copies	Closure + 3 years	Business need	Destroy	Recycling Disposal	Unrestricted		Open Schools: Each school Closed Schools: As these are an exact copy of the principal set of minutes they are not retained
ES	14	8	3	Minutes of Governors Meetings – Copy	Current academic year + 2 years	Business need	Destroy	Recycling Disposal	Unrestricted		Governor Support Service
ES	14	8	4	Minutes Received Summary Sheet	Current academic year + 1 year	Business need	Destroy	Recycling Disposal	Unrestricted		Governor Support Service
ES	14	8	5	Agendas	Date of meeting	Business need	Destroy	Recycling Disposal	Unrestricted		Open Schools: Each school Closed Schools: Not retained
ES	14	8	6	Reports	Closure + 6 years	Business need	Review for historic value	Recycling Disposal	Unrestricted		Open Schools: Each school Closed Schools: Not retained
ES	14	9		Governor Contacts							
ES	14	9	1	School Governing Bodies - Governor Contact Files	Current academic year + 6 years	Business need	Destroy	Secure Disposal	Restricted		Governor Support Service
ES	14	10		Health & Nursing							
ES	14	11		Inspections							
ES	14	11	1	Advisory and Inspection Service School Files	Current academic year + 6 years	Business need	Destroy	Recycling Disposal	Unrestricted		Schools Improvement and Advisory Service
ES	14	12		Performance							

REFERENCE				SERIES NAME	RETENTION PERIOD	STATUTORY PROVISIONS	DISPOSAL ACTION	METHOD OF DISPOSAL	PROTECTIVE MARKING	NOTES	OFFICIAL COPY HOLDER
ES	14	12	1	Extended Schools Monitoring and Assessment	End of programme + 3 years	Business need	Destroy	Recycling Disposal	Unrestricted	Required to support Ofsted inspection End of programme is anticipated in 2010.	Schools Improvement and Advisory Service
ES	14	13		Policy & Strategy							
ES	14	13	1	Policy documents	Superseded + 5 years	Business need	Review for historic value	Recycling Disposal	Unrestricted		Open Schools: Each school Closed Schools: School Place Planning and Admissions
ES	14	14		School Catering							
ES	14	15		Schools Forum							
ES	14	15	1	Election of Members	Current academic year + 3 years	Business need	Destroy	Recycling Disposal	Unrestricted		Solihull Schools' Forum
ES	14	15	2	Terms of Reference for Solihull Schools' Forum Groups	Superseded + 1 year	Business need	Destroy	Recycling Disposal	Unrestricted		Solihull Schools' Forum
ES	14	15	3	Solihull Schools' Forum Meetings Administration - Forum and Finance (Statutory) Groups	Current academic year + 7 years	Business need	Review for historic value	Recycling Disposal	Unrestricted		Solihull Schools' Forum
ES	14	15	4	Handbook	Superseded + 1 year	Business need	Destroy	Recycling Disposal	Unrestricted		Solihull Schools' Forum
ES	14	15	5	Reports Production	Current academic year + 3 years	Business need	Destroy	Recycling Disposal	Unrestricted		Solihull Schools' Forum
ES	14	15	6	Membership Lists and Mailing Labels	Current year	Business need	Destroy	Secure Disposal	Restricted		Solihull Schools' Forum
ES	14	15	7	Meetings Administration - Executive, School Improvement, Human Resources, Inclusion & Access and Task and Finish Groups - Agendas	Current academic year + 3 years	Business need	Destroy	Recycling Disposal	Unrestricted		Solihull Schools' Forum
ES	14	15	8	Meetings Administration - Executive, School Improvement, Human Resources, Inclusion & Access and Task and Finish Groups- Minutes	Current academic year + 3 years	Business need	Destroy	Recycling Disposal	Unrestricted		Solihull Schools' Forum
ES	14	15	9	Meetings Administration - Executive, School Improvement, Human Resources, Inclusion & Access and Task and Finish Groups- Reports	Current academic year + 3 years	Business need	Destroy	Recycling Disposal	Unrestricted		Solihull Schools' Forum
ES	14	15	10	Members Bank Details	Current financial year	Business need	Destroy	Secure Disposal	Restricted		Solihull Schools' Forum
ES	14	16		School Improvement							
ES	14	16	1	Attached Advisor/ School Improvement Partner Records (SID notes)	Current academic year + 10 years	Business need	Destroy	Secure Disposal	Restricted		Schools Improvement and Advisory Service
ES	14	16	2	Subject Advisor Records (Inclusion & Special Educational Needs) (Vulnerable groups)	Current academic year + 10 years	Business need	Destroy	Secure Disposal	Restricted		Schools Improvement and Advisory Service
ES	14	17		Training Provision							
ES	14	17	1	Course Development	Cessation of course + 5 years	Business need	Destroy	Recycling Disposal	Unrestricted	Administration records currently held on file would need to be separated and retained under course administration	Schools Improvement and Advisory Service
ES	14	18		Workforce Remodelling							
ES	14	18	1	School Monitoring - Workforce Remodelling (School Audit Returns)	Current academic year + 1 year	Business need	Destroy	Secure Disposal	Restricted		Schools Improvement and Advisory Service
ES	14	18	2	School Monitoring - Workforce Remodelling School Records	Current academic year + 5 years	Business need	Destroy	Secure Disposal	Restricted		Schools Improvement and Advisory Service
ES	14	18	3	Workforce remodelling audit analysis	Current academic year + 5 years	Business need	Destroy	Secure Disposal	Restricted		Schools Improvement and Advisory Service
ES	14	18	4	Workforce Remodelling Event Administration	Current financial year + 6 years	Business need	Destroy	Secure Disposal	Restricted		Schools Improvement and Advisory Service

REFERENCE				SERIES NAME	RETENTION PERIOD	STATUTORY PROVISIONS	DISPOSAL ACTION	METHOD OF DISPOSAL	PROTECTIVE MARKING	NOTES	OFFICIAL COPY HOLDER
ES	14	18	5	Local Workforce Agreement Monitoring Group - Agendas	Closure + 5 years	Business need	Destroy	Secure Disposal	Restricted		Schools Improvement and Advisory Service
ES	14	18	6	Local Workforce Agreement Monitoring Group - Minutes	Closure + 5 years	Business need	Transfer for historical preservation	Transfer to Local Studies	Restricted		Schools Improvement and Advisory Service
ES	14	18	7	Local Workforce Agreement Monitoring Group - Reports	Closure + 5 years	Business need	Transfer for historical preservation	Transfer to Local Studies	Restricted		Schools Improvement and Advisory Service
ES	15			Music Services							
ES	15	1		Administration							
ES	15	1	1	Music examinations	Current academic year + 7 years	Limitation Act 1980	Transfer examination certificates to pupils	Secure Disposal	Unrestricted		Solihull Music Service
ES	15	1	2	Application administration (includes original applications)	Date of birth + 25 years	Limitation Act 1980	Destroy	Recycling Disposal	Unrestricted		Solihull Music Service
ES	15	1	3	Music Ensemble	Date of birth + 25 years	Limitation Act 1980	Destroy	Recycling Disposal	Unrestricted		Solihull Music Service
ES	15	2		Courses & Lessons							
ES	15	2	2	Lesson Plans	Current academic year + 1 year	Business need	Destroy	Recycling Disposal	Unrestricted		Solihull Music Service
ES	15	2	3	Administration of residential courses	Current academic year + 7 years	Business need	Destroy	Recycling Disposal	Unrestricted		Solihull Music Service
ES	15	2	4	Records relating to the provision of residential courses (including pupil consent forms, attendance registers, course approvals and course evaluation reports)	Date of birth + 25 years	Limitation Act 1980	Destroy	Secure Disposal	Restricted		Solihull Music Service
ES	15	2	5	Solihull Music Centre Lessons: Lesson Credit Administration	Current financial year + 7 years	Limitation Act 1980	Destroy	Recycling Disposal	Unrestricted		Solihull Music Service
ES	15	3		Loans							
ES	15	3	1	Process of loaning a musical instrument	End of loan + 1 year	Business need	Destroy	Recycling Disposal	Unrestricted		Solihull Music Service
ES	15	4		Promotion & Publicity							
ES	15	4	1	Promotion of the Music Service	SEE MANAGEMENT RETENTION SCHEDULE			Recycling Disposal	Unrestricted		Solihull Music Service
ES	15	5		Pupil Records							
ES	15	5	1	Pupil reports	Current academic year + 3 years	Business need	Destroy	Secure Disposal	Restricted		Solihull Music Service
ES	15	5	2	Pupil lists	Current academic year	Business need	Destroy	Secure Disposal	Restricted		Solihull Music Service
ES	15	5	3	Pupil registers - lessons, ensembles and events	Retain in line with School Attendance Registers	Business need	Destroy	Secure Disposal	Restricted		Solihull Music Service
ES	15	6		Performances							
ES	15	6	1	Administration of music events	Current academic year + 7 years	Business need	Destroy	Recycling Disposal	Unrestricted		Solihull Music Service
ES	15	6	2	Publicity and programmes production relating to music events	Current academic year + 1 year	Business need	Destroy	Recycling Disposal	Unrestricted		Solihull Music Service
ES	15	6	3	Publicity and programmes publication relating to music events	End of business use	Business need	Destroy	Recycling Disposal	Unrestricted	Forward 1 copy from the initial print run to the Corporate Records Manager	Solihull Music Service
ES	15	6	4	Ticket sales analysis relating to music events	Current academic year + 3 years	Current practice	Destroy	Recycling Disposal	Unrestricted		Solihull Music Service
ES	15	6	5	Ticket sales log relating to music events	Current academic year	Business need	Destroy	Recycling Disposal	Unrestricted		Solihull Music Service
ES	15	6	6	Record of events relating to music events	End of business use	Business need	Destroy	Recycling Disposal	Unrestricted		Solihull Music Service
ES	15	7		Provision in Schools							
ES	15	7	1	Buyback administration	Termination of service + 7 years	Business need	Destroy	Secure Disposal	Restricted		Solihull Music Service
ES	15	7	2	School contract files	Termination of service + 7 years	Business need	Destroy	Secure Disposal	Restricted		Solihull Music Service
ES	16			Outdoor Education							
ES	16	1		Field Centres							
ES	16	2		Programmes							
ES	16	3		Educational Visits							
ES	17			Special Educational Needs							

REFERENCE				SERIES NAME	RETENTION PERIOD	STATUTORY PROVISIONS	DISPOSAL ACTION	METHOD OF DISPOSAL	PROTECTIVE MARKING	NOTES	OFFICIAL COPY HOLDER
ES	17	1		Assessment							
ES	17	2		Case Management							
ES	17	2	1	Case Files	Date of birth + 35 years	Legal Services advice	Destroy	Secure Disposal	Confidential		[to be identified]
ES	18			Student Awards							
ES	18	1									
ES	19			Student Loans							
ES	19	1		Financial Details							
ES	19	1	1	Case File	End of the financial year in which the student completes the course + 7 years	Business need	Destroy	Secure Disposal	Confidential	All live records were transferred to Student Finance England (SFE), Darlington in March 2011. Only records relating to students completing their course prior to 2010 remain with SMBC.	Student Finance
ES	20			Teaching							
ES	20	1		Resources							
ES	20	1	1	Resources	Superseded + 1 year	Business need	Destroy	Recycling Disposal	Unrestricted		Schools Improvement and Advisory Service
ES	21			Teacher Development							
ES	21	1		General Training							
ES	21	1	1	School Staff Training Records	Date of last entry + 10 years	Business need	Destroy	Secure Disposal	Restricted		Schools Improvement and Advisory Service
ES	21	1	2	School Contracts Administration - Training	Termination of service + 6 years	Business need	Destroy	Recycling Disposal	Unrestricted		Schools Improvement and Advisory Service
ES	21	2		Head Teacher and Deputy Head Teacher Conferences							
ES	21	2	1	Planning and Evaluation	Current academic year + 1 year	Business need	Destroy	Recycling Disposal	Unrestricted		Schools Improvement and Advisory Service
ES	21	3		Newly Qualified Teachers							
ES	21	4		Teaching Assistants							
ES	21	4	1	CACHE Training: Course Administration	Current academic year + 7 years	Limitation Act 1980	Destroy	Recycling Disposal	Unrestricted		Schools Improvement and Advisory Service
ES	21	4	2	CACHE Training: Centre Approval Records	De-registration of centre + 1 year	Business need	Destroy	Recycling Disposal	Unrestricted		Schools Improvement and Advisory Service
ES	21	5		Training							
ES	21	5	1	School Centred Initial Teacher Training: Programme Administration	Termination of programme + 10 years	JISC/ JISC Infonet Higher Education Institutions Records Retention Schedule	Review for historic value	Recycling Disposal	Unrestricted		Schools Improvement and Advisory Service
ES	21	5	2	School Centred Initial Teacher Training: Student files	Closure + 6 years	JISC/ JISC Infonet Higher Education Institutions Records Retention Schedule	Destroy	Secure Disposal	Restricted		Schools Improvement and Advisory Service
ES	21	5	3	Newly Qualified Teacher Programme Development	Current academic year + 3 years	Business need	Destroy	Recycling Disposal	Unrestricted		Schools Improvement and Advisory Service
ES	21	5	4	School Contract Administration - Advisors and Advisory Teachers	Termination of service + 6 years	Business need	Destroy	Secure Disposal	Restricted		Schools Improvement and Advisory Service
ES	21	5	5	Higher Certificate for Teaching Assistants (HCTA) Course Administration	Current academic year + 7 years	Business need	Destroy	Recycling Disposal	Unrestricted		Schools Improvement and Advisory Service
ES	21	5	6	Higher Level Teaching Assistant Programme Application Administration - Successful applications	Course completion + 2 years	Business need	Destroy	Secure Disposal	Restricted		Schools Improvement and Advisory Service
ES	21	5	7	Higher Level Teaching Assistant Programme Application Administration - Unsuccessful applications	Current academic year + 1 year	Business need	Destroy	Secure Disposal	Restricted		Schools Improvement and Advisory Service
ES	21	5	8	Higher Level Teaching Assistant Programme Applications: Summary of Candidates	Current academic year + 6 years	Business need	Destroy	Secure Disposal	Restricted		Schools Improvement and Advisory Service
ES	21	5	9	Higher Certificate for Teaching Assistants (HCTA) Candidate Information	Course completion + 2 years	Business need	Destroy	Secure Disposal	Restricted		Schools Improvement and Advisory Service
ES	21	5	10	CACHE Training (Certificate for Teaching Assistants): Candidate Information	Course completion + 2 years	Business need	Destroy	Secure Disposal	Restricted		Schools Improvement and Advisory Service
ES	21	5	11	Teacher Timetables and Year Planners	Current academic year + 1 year	Business need	Destroy	Recycling Disposal	Unrestricted		Solihull Music Service

REFERENCE				SERIES NAME	RETENTION PERIOD	STATUTORY PROVISIONS	DISPOSAL ACTION	METHOD OF DISPOSAL	PROTECTIVE MARKING	NOTES	OFFICIAL COPY HOLDER
ES	21	5	12	Teacher Absence Notification	Current academic year	Business need	Destroy	Secure Disposal	Restricted		Solihull Music Service
ES	21	5	13	National Strategies Training Attendance Monitoring	Current academic year + 4 years	Business need	Destroy	Recycling Disposal	Unrestricted		Schools Improvement and Advisory Service
ES	21	5	14	Support Staff Training Logs	Current academic year + 5 years	Business need	Destroy	Secure Disposal	Restricted		Schools Improvement and Advisory Service
ES	21	6		Mentoring							

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REFERENCE	SERIES NAME			RETENTION PERIOD	STATUTORY PROVISIONS	DISPOSAL ACTION	METHOD OF DISPOSAL	PROTECTIVE MARKING	NOTES	OFFICIAL COPY HOLDER
FE	Finance									
FE	1	Accounts and Statements								
FE	1	1	Final Accounts							
FE	1	1	1	Guidance and Timetable	Current financial year + 7 years	Business need (based on Limitation Act 1980)	Destroy	Recycling Disposal	Unrestricted	Finance (Corporate Accounting)
FE	1	1	2	Accounting Statement (Final and draft copies)	Current financial year + 7 years	Business need (based on Limitation Act 1980)	Transfer for historical preservation	Transfer to Local Studies	Unrestricted	Known as Annual Accounts within schools Council: Finance (Corporate Accounting) Open Schools: Each School Closed Schools: School Place Planning and Admissions
FE	1	1	3	Accounting Statement (Supporting Information)	Current financial year + 7 years	Business need (based on Limitation Act 1980)	Review for historic value	Recycling Disposal	Unrestricted	Finance (Corporate Accounting)
FE	1	1	4	Treasury Management Annual Outturn Report	Current financial year + 3 years	Business need	Destroy	Recycling Disposal	Unrestricted	Finance (Treasury Management)
FE	1	1	5	Collection Fund	Current financial year + 7 years	Business need (based on Limitation Act 1980)	Destroy	Recycling Disposal	Unrestricted	Finance (Corporate Accounting)
FE	1	1	6	Treasury Management Accounting Statement	Current financial year + 7 years	Business need (based on Limitation Act 1980)	Review for historic value	Recycling Disposal	Unrestricted	Finance (Treasury Management)
FE	1	1	7	Final Accounts - preparation and final versions (other than those already mentioned)	Current financial year + 7 years	Business need (based on Limitation Act 1980)	Review for historic value	Recycling Disposal	Unrestricted	Finance (Various)
FE	1	1	8	Ysgol	Current financial year + 7 years	Business need	Destroy	Recycling Disposal	Unrestricted	Finance (Corporate Accounting)
FE	1	1	9	Building Control Surplus Fund Calculation	Current financial year + 7 years	Business need	Destroy	Recycling Disposal	Unrestricted	Finance (Corporate Accounting)
FE	1	1	10	Local Authority Mortgage Advice Committee (LAMAC) (Reconciliations & reports)	Current financial year + 7 years	Limitation Act 1980	Destroy	Secure Disposal	Restricted	Finance (Corporate Accounting)
FE	1	1	11	Joint Data Team Contributions From Councils	Current financial year + 7 years	Business need (based on Limitation Act 1980)	Destroy	Recycling Disposal	Unrestricted	Finance (Corporate Accounting)
FE	1	2	Month End							
FE	1	2	1	Monthly Timetables	End of business use	Business need	Destroy	Recycling Disposal	Unrestricted	Finance (Financial Systems)
FE	1	2	2	Monthly Closedown	Current financial year + 7 years	Business need (based on Limitation Act 1980)	Destroy	Recycling Disposal	Unrestricted	Finance (Various)
FE	1	3	Year End							
FE	1	3	1	Timetable	Current financial year + 7 years	Business need	Destroy	Recycling Disposal	Unrestricted	Finance (Corporate Accounting)
FE	1	3	2	Annual Closedown of Accounts	Current financial year + 7 years	CIPFA recommendation (Nov. 2008) + Audit requirement	Destroy	Recycling Disposal	Unrestricted	Finance (Corporate Accounting)
FE	1	3	3	P13 Monitoring (Supporting papers)	Current financial year + 1 year	Business Need	Destroy	Recycling Disposal	Unrestricted	Finance (Business Support)
FE	1	3	4	End of Year Variance Reporting	Current financial year + 7 years	Business need	Destroy	Recycling Disposal	Unrestricted	Finance (Business Support)
FE	2	Authorisation								
FE	2	1								
FE	2	1	1	Authorised Signatories for External Funding Claims	Following completion of audit or in accordance with grant conditions	Business need	Review for continuing business use	Secure Disposal	Restricted	Records for European grant funded projects need to be kept in line with these recommendations Finance (External Finance (Grants))
FE	2	1	2	Bank Signatories	Current financial year + 7 years	The National Archives Publication: Records Management Retention Scheduling No. 10 Central Expenditure Records (issued 2003) + Audit requirement	Destroy	Secure Disposal	Restricted	Finance (Corporate Accounting)

REFERENCE				SERIES NAME	RETENTION PERIOD	STATUTORY PROVISIONS	DISPOSAL ACTION	METHOD OF DISPOSAL	PROTECTIVE MARKING	NOTES	OFFICIAL COPY HOLDER
FE	2	1	3	Authorised signatories for those authorised to approve expenditure	Current financial year + 7 years	Limitation Act 1980 + Business need	Destroy	Secure Disposal	Restricted		Finance (Corporate Accounting)
FE	2	1	4	Expenditure Limits	Current financial year + 7 years	Business need	Destroy	Recycling Disposal	Unrestricted		Finance (Corporate Accounting)
FE	2			Asset Management							
FE	2	1		Maintaining Assets							
FE	2	1	1	Stock records	Disposal of item + 2 years	The National Archives 3. Accounting Records (version 3 March 2006)	Destroy	Secure Disposal	Restricted		Individual business areas
FE	2	1	2	Registrars routine correspondence relating to accounting transactions, charges and receipts	Closure date + 2 years	General Registry Office "Appendix 12 Minimum Period of Preservation of Official Documents"	Destroy	Secure Disposal	Restricted		Registration Services
FE	2	1	3	Registrars Cash Book	Closure date + 7 years	General Registry Office "Appendix 12 Minimum Period of Preservation of Official Documents"	Destroy	Secure Disposal	Restricted		Registration Services
FE	2	1	4	Registrars Paying In Books or Slips	Closure date + 7 years	General Registry Office "Appendix 12 Minimum Period of Preservation of Official Documents"	Destroy	Secure Disposal	Restricted		Registration Services
FE	3			Audit							
FE	3	1		External Audit							
FE	3	1	1	Prepared by Client Listing	Current financial year + 7 years	Business need	Destroy	Recycling Disposal	Unrestricted		Finance (Corporate Accounting)
FE	3	1	2	Public Objections	Current financial year + 7 years	Business need	Review for historic value	Recycling Disposal	Unrestricted		Finance (Corporate Accounting)
FE	3	1	3	Audit Working Files	Issue of Audit Certificate + 7 years	Business need	Destroy	Recycling Disposal	Unrestricted		Finance (Head of Service)
FE	3	1	4	Grant funding financial management: Audit Files	As per grant Conditions	Business need	Destroy	Recycling Disposal	Unrestricted		Finance (External Finance (Grants))
FE	4			Bank Accounts							
FE	4	1		Direct Debits							
FE	4	1	1	Mandates (where the customer agrees to the creation of a direct debit arrangement between themselves and the council)	Effective date + 7 years	Business need	Destroy	Secure Disposal	Restricted	INCOME & AWARDS ONLY Paper copies: Destroy 2 months after digitisation Electronic copies: Destroy	Finance (Corporate Accounting) Income & Awards (Income Team)
FE	4	1	2	Requests	Closure date + 6 months	Business need	Destroy	Secure Disposal	Restricted	INCOME & AWARDS ONLY Paper copies: Destroy 2 months after digitisation Electronic copies: Destroy	Finance (Corporate Accounting) Income & Awards (Income Team)
FE	4	1	3	Amendments	Current financial year + 6 Years	Business need	Destroy	Secure Disposal	Restricted	INCOME & AWARDS ONLY Paper copies: Destroy 2 months after digitisation Electronic copies: Destroy	Finance (Corporate Accounting) Income & Awards (Income Team)
FE	4	2		Statements							
FE	4	2	1	Annual and monthly	Current financial year + 7 years	CIPFA recommendation (Nov. 2008) + Audit requirement	Destroy	Secure Disposal	Restricted	Retain in electronic format only	Finance (Corporate Accounting) Finance (Treasury Management)

REFERENCE				SERIES NAME	RETENTION PERIOD	STATUTORY PROVISIONS	DISPOSAL ACTION	METHOD OF DISPOSAL	PROTECTIVE MARKING	NOTES	OFFICIAL COPY HOLDER
FE	4	2	2	Log of Controlled Stationary	Current financial year + 2 years	The National Archives Publication: Records Management Retention Scheduling No. 3 Accounting Records (version 3. issued March 2006)	Destroy	Recycling Disposal	Unrestricted		Finance (Corporate Accounting)
FE	4	3		Cheques							
FE	4	3	1	Refund/Dishonoured Cheques	Closure date + 3 years	Business need	Destroy	Secure Disposal	Restricted		Finance (Various)
FE	4	3	2	Cheque Cancellation Form	Current financial year + 2 years	The National Archives Publication: Records Management Retention Scheduling No. 3 Accounting Records (version 3. issued March 2006) CIPFA recommendation (Nov. 2008)	Destroy	Secure Disposal	Restricted		Finance (Corporate Accounting)
FE	4	3	3	Opening Cheques	Current financial year + 2 years	The National Archives Publication: Records Management Retention Scheduling No. 3 Accounting Records (version 3. issued March 2006) CIPFA recommendation (Nov. 2008)	Destroy	Secure Disposal	Restricted		Finance (Order Processing & Payments)
FE	4	3	4	Payments	Current financial year + 6 Years	Business need	Destroy	Secure Disposal	Restricted	INCOME & AWARDS ONLY Paper copies: Destroy 2 months after digitisation Electronic copies: Destroy	Finance (Corporate Accounting) Income & Awards (Income Team)
FE	5			Benefits & Subsidies							
FE	5	1		Assessment							
FE	5	1	1	Case File	Current year + 3 years	Business need	Paper copies: Destroy 2 months after digitisation Electronic copies: Review for continuing business use then: Retain: Rent Officer Decision Tenancy Agreements Landlord direct payments Evidence of Identity Review for historic value unless a debt is outstanding NOTE: ANITE Information is treated separately	Secure Disposal	Restricted		Income & Awards (Awards)
FE	5	1	2	Case File: 1. Rent Officer Decision 2. Tenancy Agreements 3. Landlord Direct Payments 4. Evidence of Identity	Retain until claim cancelled	Business need	Paper copies: Destroy 2 months after digitisation Electronic copies: Destroy unless a debt is outstanding	Secure Disposal	Restricted		Income & Awards (Awards)
FE	5	1	3	Notification of Deaths Occurring	On receipt	Business need	Transfer to main case file	Secure Disposal	Restricted	Information received directly from Registrars Services	Income & Awards (Income)

REFERENCE				SERIES NAME	RETENTION PERIOD	STATUTORY PROVISIONS	DISPOSAL ACTION	METHOD OF DISPOSAL	PROTECTIVE MARKING	NOTES	OFFICIAL COPY HOLDER	
FE	5	1	4	Pre-Tenancy Determination	Closure date + 1 year	Business need	Paper copies: Destroy 2 months after digitisation Electronic copies: Destroy	Secure Disposal	Restricted		Income & Awards (Awards)	
FE	5	1	5	Discretionary Housing Payment	On receipt	Business need	Transfer to main case file	Secure Disposal	Restricted		Income & Awards (Awards)	
FE	5	1	6	ANITE Information	Creation of CD containing ANITE data + 7 years	Business need	Destroy	Secure Disposal	Restricted	The retention period is to apply from the date of creation of the extract from ANITE. No additions will be made to this data and individual records cannot be deleted.	Income & Awards (Income)	
FE	5	2		Social Care Financial Assessments								
FE	5	2	1	Assessment for Allowances	Current financial year + 7 years	Limitation Act 1980	Destroy	Secure Disposal	Restricted		Income & Awards (Awards)	
FE	5	2	2	Payment Files	Current financial year + 7 years	Limitation Act 1980	Destroy	Secure Disposal	Restricted		Income & Awards (Awards)	
FE	5	3		Recovery of Overpayments								
FE	5	3	1	Arrears Analysis – Business Rates	Current financial year + 6 years	Business need	Destroy	Secure Disposal	Restricted		Income & Awards (Income)	
FE	5	3	2	Deduction from Benefits	Repayment of debt + 3 years	The National Archives Publication: Records Management Retention Scheduling No. 3 Accounting Records (version 3. issued March 2006) Business need	Destroy	Secure Disposal	Restricted		Income & Awards (Income)	
FE	5	3	3	Deduction from Salary	Repayment of debt + 3 years	The National Archives Publication: Records Management Retention Scheduling No. 3 Accounting Records (version 3. issued March 2006) Business need	Destroy	Secure Disposal	Restricted		Income & Awards (Income)	
FE	5	3	4	Final Notice Spread sheet	Repayment of debt + 3 years	The National Archives Publication: Records Management Retention Scheduling No. 3 Accounting Records (version 3. issued March 2006)	Destroy	Secure Disposal	Restricted		Income & Awards (Income)	
FE	5	3	5	Recovery Holds	Until debt cleared	Business need	Destroy	Secure Disposal	Restricted		Income & Awards (Income)	
FE	5	3	6	Tracing Missing Debtors	Until debt paid in full or is written off and audit completed <i>whichever is the later</i>	Business need	Destroy	Secure Disposal	Restricted		Income & Awards (Income)	
FE	5	3	7	Debt Management Requests	End of business use	Business need	Destroy	Secure Disposal	Restricted		Income & Awards (Income)	
FE	6			Borrowing								
FE	6	1		Administration								
FE	6	1	1	Administration of Long and Short Term Loans	Date of repayment + 7 years	Business need	Destroy	Secure Disposal	Restricted		Council Finance (Treasury Management) Schools Finance (Treasury Management)	

REFERENCE				SERIES NAME	RETENTION PERIOD	STATUTORY PROVISIONS	DISPOSAL ACTION	METHOD OF DISPOSAL	PROTECTIVE MARKING	NOTES	OFFICIAL COPY HOLDER
FE	6	1	2	Loans Summary Register	Date of repayment + 7 years	Business need	Transfer for historical preservation	Transfer to Local Studies	Restricted		Finance (Treasury Management)
FE	6	1	3	Cash flow management	Date of liquidation or maturing of investment + 7 years	The National Archives Publication: Records Management Retention Scheduling No. 10 Central Expenditure Records (issued 2003) + Audit requirement	Review for historic value	Secure Disposal	Restricted		Finance (Treasury Management)
FE	6	1	4	Daily Dealing Sheet/Prudential Indicators	Current financial year + 2 years	CIPFA recommendation (Nov. 2008)	Destroy	Secure Disposal	Restricted		Finance (Treasury Management)
FE	6	1	5	Prudential Borrowing Indicators	Current financial year + 2 years	CIPFA recommendation (Nov. 2008)	Destroy	Secure Disposal	Restricted		Finance (Treasury Management)
FE	6	1	6	"Dudley Debt" administration	Date of repayment + 7 years	Based on CIPFA recommendation (Nov. 2008)	Destroy	Secure Disposal	Restricted		Finance (Treasury Management)
FE	6	1	7	Investment and Debt Maturity Profiles	Current financial year + 2 years	CIPFA recommendation (Nov. 2008)	Review for historic value	Secure Disposal	Restricted		Finance (Treasury Management)
FE	6	1	8	Fund Managers 1. External Fund Manager Monitoring 2. Selection, appointment and monitoring of external fund managers	Current financial year + 7 years	CIPFA recommendation (Nov. 2008) + Audit requirement	Destroy	Secure Disposal	Restricted		Finance (Treasury Management)
FE	7			Budget							
FE	7	1		Development							
FE	7	1	1	Annual Council Budget Setting	Current financial year + 7 years	Business need	Transfer for historical preservation	Transfer to Local Studies	Restricted		Finance (Financial Strategy)
FE	7	1	2	Budget Setting - Working Papers & Final Copy (Housing Revenue Account)	Current financial year + 1 year	Business need	Destroy	Secure Disposal	Restricted		Finance Corporate Accounting)
FE	7	1	3	Budget Setting (other)	Current financial year + 3 years	Business need	Destroy	Secure Disposal	Restricted		Finance (Business Support)
FE	7	1	4	Waste Disposal Account - Estimates (Final Copy)	Current financial year + 7 years	Business need	Destroy	Secure Disposal	Restricted		Finance Corporate Accounting)
FE	7	1	5	Waste Disposal Account - Estimates (Working papers)	Current financial year + 2 years	CIPFA recommendation (Nov. 2008)	Destroy	Secure Disposal	Restricted		Finance Corporate Accounting)
FE	7	2		Monitoring							
FE	7	2	1	Financial Monitoring Records (Schools)	Current financial year + 7 years	CIPFA recommendation (Nov. 2008) + Audit requirement	Destroy	Secure Disposal	Restricted		Finance (Schools)
FE	7	2	2	Grants Directorate Monthly Monitoring (Final and summary reports)	Current financial year + 3 years	Business need	Destroy	Secure Disposal	Restricted		Finance (External Finance (Grants))
FE	7	2	3	Forward Forecast	Current financial year + 3 years	Business need	Destroy	Secure Disposal	Restricted		Finance (Schools)
FE	7	2	4	Budget Plan (Centre Schools)	Current financial year + 7 years	Business need	Transfer for historical preservation	Transfer to Local Studies	Restricted		Finance (Schools)
FE	7	2	5	Hatchford School Management Information	End of business use	Business need	Destroy	Secure Disposal	Restricted		Finance (Schools)
FE	7	2	6	Cash Limit	Current financial year + 7 years	Business need	Destroy	Secure Disposal	Restricted		Finance (Cost Centre Management Team)
FE	7	2	7	Virement Tracking	Current financial year + 7 years	CIPFA recommendation (Nov. 2008) + Audit requirement	Destroy	Secure Disposal	Restricted		Finance (Cost Centre Management Team)
FE	7	2	8	Adult Social Services (Client income monthly monitoring)	Current financial year + 7 years	CIPFA recommendation (Nov. 2008) + Audit requirement	Destroy	Secure Disposal	Restricted		Finance Corporate Accounting)
FE	7	2	9	Balance Sheet Monitoring	Current financial year + 7 years	CIPFA recommendation + Business need	Destroy	Secure Disposal	Restricted		Finance Corporate Accounting)
FE	7	2	10	Monitoring Procurement Savings Budget: Baseline Document	Current financial year + 7 years	CIPFA recommendation + Business need	Destroy	Secure Disposal	Restricted		Finance Corporate Accounting)
FE	7	2	11	Joint Data Team Monitoring File	Current financial year + 7 years	CIPFA recommendation + Business need	Destroy	Secure Disposal	Restricted		Finance Corporate Accounting)
FE	7	2	12	Waste Disposal Account	Current financial year + 7 years	CIPFA recommendation (Nov. 2008)	Destroy	Secure Disposal	Restricted		Finance Corporate Accounting)
FE	7	3		Reporting							
FE	7	3	1	Budget Manager/Head of Service Budget Monitoring (including cabinet reports)	Current financial year + 7 years	CIPFA recommendation (Nov. 2008) + Audit requirement	Destroy	Recycling Disposal	Unrestricted		Finance (Cost Centre Management Team)

REFERENCE				SERIES NAME	RETENTION PERIOD	STATUTORY PROVISIONS	DISPOSAL ACTION	METHOD OF DISPOSAL	PROTECTIVE MARKING	NOTES	OFFICIAL COPY HOLDER
FE	7	3	2	Financial Monitoring Reports for Cabinet (financial implications only) DMT and CMT (Final reports & supporting papers)	Current financial year + 3 years	Business need	Destroy	Secure Disposal	Restricted	Retained in electronic format only	Council: Finance (Business Support) Care Trust: Finance (Central Accounting) Schools (DMT only) Finance (Schools)
FE	7	3	3	Monitoring (CMT Reports)	Current financial year + 7 years	CIPFA recommendation (Nov. 2008) + Audit requirement	Review for historic value	Secure Disposal	Restricted		Council: Finance (Business Support) Care Trust: Finance (Central Accounting) Schools (DMT only) Finance (Schools)
FE	7	3	4	Cabinet Report Tracker	Current financial year + 3 years	Business need	Destroy	Secure Disposal	Restricted	Retained in electronic format only	Finance (Business Support)
FE	7	3	5	Management Summary Report (Risk Assessment) (Final reports & supporting papers)	Current financial year + 2 years	Business need	Destroy	Secure Disposal	Restricted		Finance (Schools)
FE	7	3	6	Monthly Licence Deficit Briefing Note	Current financial year + 2 years	Business need	Destroy	Secure Disposal	Restricted		Finance (Schools)
FE	7	3	7	Monitoring Report (Solihull Community Housing)	Current financial year + 3 years	Business need	Destroy	Secure Disposal	Restricted		Finance (Order Processing & Payments)
FE	8			Debt Management							
FE	8	1		Administration							
FE	8	1	1	Process of Identifying Debts	End of business use	Business need	Destroy	Secure Disposal	Restricted		Income & Awards (Income Team)
FE	8	1	2	Records relating to the recovery of monies owed from benefits	Current financial year + 2 years	Business need	Paper copies: Destroy 2 months after digitisation Electronic copies: Destroy	Secure Disposal	Restricted		Income & Awards (Income Team)
FE	8	1	3	Process of using collection agents to recover money owed	Until debt paid in full or is written off and audit completed <i>whichever is the later</i>	Business need	Paper copies: Destroy 2 months after digitisation Electronic copies: Destroy	Secure Disposal	Restricted		Income & Awards (Income Team)
FE	8	1	4	Records relating to the recovery of monies owed for services provided	Current financial year + 7 years	Limitation Act 1980	Destroy	Secure Disposal	Restricted		Individual business areas
FE	8	2		County Court Proceedings							
FE	8	2	1	County Court Case Files	Closure date + 3 years	Business need	Destroy	Secure Disposal	Restricted		Income & Awards (Income Team)
FE	8	2	2	Listing of Cases	End of business use	Business need	Destroy	Secure Disposal	Restricted		Income & Awards (Income Team)
FE	8	2	3	Reports detailing cases where summons are to be issued for the non-payment of debt	Copies not retained	Business need	Destroy	Secure Disposal	Restricted		Income & Awards (Income Team)
FE	8	3		Magistrates Court Proceedings							
FE	8	3	1	Committal Files	Until debt paid in full and audit has occurred	Business need	Destroy	Secure Disposal	Restricted		Income & Awards (Income Team)
FE	8	3	2	Notification of Liability Orders	Creation date + 2 weeks	Business need	Destroy	Secure Disposal	Restricted		Income & Awards (Income Team)

REFERENCE				SERIES NAME	RETENTION PERIOD	STATUTORY PROVISIONS	DISPOSAL ACTION	METHOD OF DISPOSAL	PROTECTIVE MARKING	NOTES	OFFICIAL COPY HOLDER
FE	8	3	3	Reports identifying or verifying cases for committal	Creation date + 2 weeks	Business need	Destroy	Secure Disposal	Restricted		Income & Awards (Income Team)
FE	8	3	4	Listing of people due to be summoned before the court for non-payment of debt	Closure date + 2 weeks	Business need	Destroy	Secure Disposal	Restricted		Income & Awards (Income Team)
FE	8	3	5	Hearing Lists	Closure date + 2 weeks	Business need	Destroy	Secure Disposal	Restricted		Income & Awards (Income Team)
FE	8	3	6	Complaint List	Closure date + 2 weeks	Business need	Destroy	Secure Disposal	Restricted	Original order may be required by the court	Income & Awards (Income Team)
FE	8	3	7	Liability Order List	Closure date + 2 weeks	Business need	Destroy	Secure Disposal	Restricted		Income & Awards (Income Team)
FE	8	3	8	Summonses	Closure date + 2 weeks	Business need	Destroy	Secure Disposal	Restricted		Income & Awards (Income Team)
FE	8	4		Writing off Debt							
FE	8	4	1	Process of writing of debt relating to benefit, council tax or business rates records.	Closure date + 2 years	Business need	Destroy	Secure Disposal	Restricted		Income & Awards
FE	9			Donations							
FE	9	1									
FE	10			Expenditure							
FE	10	1		Expenses							
FE	10	1	1	Solihull Schools Forum Attendance Expenses Administration	[to be confirmed]			Secure Disposal	Restricted		Governor & School Forum Services
FE	10	2		Payments							
FE	10	2	1	MIRAS 70 forms	Repayment of loan + 2 years	Inland Revenue Requirement	Destroy	Secure Disposal	Restricted		Income & Awards (Income Team)
FE	10	2	2	Payment of fees due (e.g. Court fees)	Current financial year + 2 years	Business need	Destroy	Secure Disposal	Restricted		Income & Awards
FE	10	2	3	Invoices (excluding invoices relating to European grant funding)	Current financial year + 7 years	CIPFA recommendation (Nov. 2008) + Audit requirement	Destroy	Secure Disposal	Restricted		<p>Main Council Set; Adult Day Care Query Reports; Hays Temporary Staff Contract Management: Finance (Order Processing and Payments Team)</p> <p>Social Care Finance (Property Invoices & Transitional Invoices): Finance (Cost Centre Management)</p> <p>UASC: Finance (External Finance (Grants))</p> <p>Open Schools: Individual schools</p> <p>Closed Schools: School Place Planning and Admissions</p>
FE	10	2	4	Web Summary: Utility Bill Information	Current financial year + 7 years	Business need	Destroy	Recycling Disposal	Unrestricted		Finance
FE	10	2	5	Administration of Day Care Charges	Retain in line with invoice records	Business need	Destroy	Secure Disposal	Restricted		Finance (Cost Centre Management)
FE	10	2	6	Payment of Management Fees	Retain in line with invoice records	Business need	Destroy	Secure Disposal	Restricted		Finance (Central Accounting)
FE	10	2	7	Administration of the Construction Industry Scheme	Current financial year + 3 years	CIPFA recommendation (Nov. 2008)	Destroy	Secure Disposal	Restricted		Finance (Order Processing & Payments)

REFERENCE				SERIES NAME	RETENTION PERIOD	STATUTORY PROVISIONS	DISPOSAL ACTION	METHOD OF DISPOSAL	PROTECTIVE MARKING	NOTES	OFFICIAL COPY HOLDER
FE	10	2	8	CIS5 & CIS6 Oracle Reports	Current financial year + 7 years	Business need	Destroy	Secure Disposal	Restricted		Finance (Order Processing & Payments)
FE	10	2	9	Petty Cash Request Slip	Current financial year + 3 years	Business need	Destroy	Recycling Disposal	Unrestricted		Finance (Central Accounting)
FE	10	2	10	Petty Cash - Issuing Stationary	Current financial year + 7 years	Business need	Destroy	Recycling Disposal	Unrestricted		Finance (Central Accounting)
FE	10	2	11	Petty Cash - Verification Forms	Retain in line with Accounting Statement (Supporting Information) records	Business need	Destroy	Recycling Disposal	Unrestricted		Finance (Central Accounting)
FE	10	2	12	Petty Cash – Requests	Current financial year + 2 years	The National Archives	Destroy	Recycling Disposal	Unrestricted		Finance (Central Accounting)
FE	10	2	13	Petty Cash - Tracking	Current financial year + 2 years	CIPFA recommendation (Nov. 2008)	Destroy	Recycling Disposal	Unrestricted		Finance (Corporate Accounting)
FE	10	2	14	Administration of CHAPS (Clearing House Automated Payments System)	Current financial year + 7 years	CIPFA recommendation (Nov. 2008) + Audit requirement	Destroy	Secure Disposal	Restricted		Finance (Treasury Management & Insurance Loss Control)
FE	10	2	15	Payment Runs	Current financial year + 7 years	CIPFA recommendation (Nov. 2008) + Audit requirement	Destroy	Secure Disposal	Restricted		Finance (Order Processing & Payments)
FE	10	2	16	Payment Run Rota	End of business use	Business need	Destroy	Secure Disposal	Restricted		Finance (Order Processing & Payments)
FE	10	2	17	Payment Schedules	Retain in line with invoice records	Business need	Destroy	Secure Disposal	Restricted		Finance (Order Processing & Payments)
FE	10	2	18	Credit Notes Received	Retain in line with VAT records	Business need	Destroy	Secure Disposal	Restricted		Finance (Order Processing & Payments)
FE	10	2	19	Direct Supplier Form	Retain in line with VAT records	Business need	Destroy	Secure Disposal	Restricted		Finance (Order Processing & Payments)
FE	10	2	20	Foster Parent Payment Data Prep Report	Retain in line with invoice records	Business need	Destroy	Secure Disposal	Restricted		Finance (Order Processing & Payments) Income & Awards
FE	10	2	21	Remittance Advices	Current financial year + 3 years	Business need	Destroy	Recycling Disposal	Unrestricted		Finance (Corporate Accounting)
FE	10	2	22	Cashier Sheets	Current financial year + 3 years	Business need	Destroy	Recycling Disposal	Unrestricted		Finance (Corporate Accounting)
FE	10	2	23	Self Bill Process	Retain in line with invoice records	Business need	Destroy	Secure Disposal	Restricted		Finance (Corporate Accounting)
FE	10	2	24	Overpayment exercise	Current financial year + 7 years	Business need	Destroy	Secure Disposal	Restricted		Finance (Cost Centre Management Team)
FE	10	2	25	Claims and authorisation for travel and/or subsistence	Current financial year + 7 years			Secure Disposal	Restricted		Finance
FE	10	3		Purchasing							
FE	10	3	1	Purchase Ledger	Current financial year + 7 years	CIPFA recommendation (Nov. 2008) + Audit requirement	Transfer for historical preservation	Transfer to Local Studies	Restricted	Ledger required to be retained as main accounting record under the Companies Act 1985. Retain for VAT purposes also.	Finance (Order Processing & Payments)
FE	10	3	2	Purchase Card Statement Schedules	Retain in line with Bank Statement records Card Holders End of business use	Business need	Destroy	Recycling Disposal	Unrestricted	All purchase card statements are held electronically.	Finance (Order Processing & Payments)
FE	10	3	3	Purchase Card Intranet System	Current financial year + 7 years	Business need	Destroy	Recycling Disposal	Unrestricted		Finance (Order Processing & Payments)

REFERENCE				SERIES NAME	RETENTION PERIOD	STATUTORY PROVISIONS	DISPOSAL ACTION	METHOD OF DISPOSAL	PROTECTIVE MARKING	NOTES	OFFICIAL COPY HOLDER
FE	10	3	4	Process of administering the purchase card system	Current financial year + 7 years	Business need	Destroy	Recycling Disposal	Unrestricted	The database copy held by audit must be deleted at the end of business use.	Finance (Order Processing & Payments)
FE	10	3	5	Purchase orders	Current financial year + 7 years	Business need	Destroy	Recycling Disposal	Unrestricted		Finance (Order Processing & Payments)
FE	10	3	6	Musical Instrument Assisted Purchase Scheme	Current financial year + 7 years	Business need	Destroy	Secure Disposal	Restricted		Music Service
FE	11			Fraud							
FE	11	1		Fraud Identification							
FE	11	1	1	Housing Benefit Matching Service	Closure date + 3 years	Business need	Destroy	Secure Disposal	Restricted		Service & Systems Development Manager
FE	11	1	2	Referrals	Closure date + 1 year	Business need	Destroy	Secure Disposal	Restricted		Income & Awards (Awards)
FE	11	2		Investigations							
FE	11	2	1	Recorded Interviews	With sanctions: Closure date + 1 year Prosecutions: Prosecution + 6 years	Business need	Destroy	Secure Disposal	Restricted		Income & Awards (Awards)
FE	11	2	2	Interview Transcripts	Sanctions + 1 year	Business need	Destroy	Secure Disposal	Restricted		Income & Awards (Awards)
FE	11	2	3	QB 50 Notebooks	Closure date + 6 years	Limitation Act 1980	Destroy	Secure Disposal	Restricted		Income & Awards (Awards)
FE	11	2	4	Mileage Sheet	Current financial year + 3 years	CIPFA recommendation (Nov. 2008)	Destroy	Secure Disposal	Restricted		Income & Awards (Awards)
FE	11	3		Case Management							
FE	11	3	1	Case Files	No Fraud: Closure date + 3 months Sanctions: Closure date + 1 year Prosecutions: Prosecution + 6 years	Business need	Paper copies: Destroy 2 months after digitisation Electronic copies: Review for historic value	Secure Disposal	Restricted		Income & Awards (Awards)
FE	11	3	2	Fraud Summaries	Closure date + 3 years	Business need	Destroy	Secure Disposal	Restricted	Held on the internet website	Income & Awards (Awards)
FE	11	4		Benefits Overpayment							
FE	11	4	1	Overpaid Housing Benefit Correspondence	Current financial year + 2 years	Business need	Paper copies: Destroy 2 months after digitisation Electronic copies: Destroy	Secure Disposal	Restricted		Income & Awards (Income)
FE	12			Funding							
FE	12	1		Administration							
FE	12	1	1	Higher Level Teaching Assistant Programme Management	[to be confirmed]						School Improvement Advisory Service
FE	12	2		Allocations							
FE	12	3		Applications							
FE	12	4		Bids							
FE	12	5		Grants							
FE	12	5	1	Records relating to grants which are not European funded	Current financial year + 7 years or relevant funding body guidelines <i>whichever is the longer</i>	Business need Funding body guidance	Review for historic value	Secure Disposal	Restricted		Finance (External Finance (Grants)) Grant Assessments where SMBC is not the accountable body: Andrea Santer

REFERENCE				SERIES NAME	RETENTION PERIOD	STATUTORY PROVISIONS	DISPOSAL ACTION	METHOD OF DISPOSAL	PROTECTIVE MARKING	NOTES	OFFICIAL COPY HOLDER
FE	12	5	2	Records relating to grants which are European funded	Retain in line with European grant funded records	European Regulations (unidentified)	Review for continuing business use Review for historic value	Secure Disposal	Restricted	This retention period may be extended by the European Commission. Retain all documentation.	Finance (External Finance (Grants))
FE	12	5	3	Grant funding financial management: Grants Register and Grants Database	Retain for life of the organisation	Business need	Transfer for historical preservation	Transfer to Local Studies	Restricted		Finance (External Finance (Grants))
FE	12	5	4	Grants Tracker	Current financial year + 3 years	Business need	Destroy	Secure Disposal	Restricted		Finance (Business Support)
FE	12	5	5	Standard Funds Monitoring Return (Revenue)	Retain in line with grant recommendations	Funding Body Guidelines	Destroy	Recycling Disposal	Unrestricted		Finance (Schools)
FE	12	5	6	Dedicated School Grant (DSG) Outturn Proposal	Retain in line with grant recommendations	Funding Body Guidelines	Destroy	Recycling Disposal	Unrestricted		Finance (Schools)
FE	12	6		Unaccompanied Asylum Seekers							
FE	12	6	1	UASC Claimant Details	Current financial year + 3 years	Business need	Destroy	Secure Disposal	Restricted		Finance (External Finance (Grants))
FE	12	6	2	18+ Claim Form	Current financial year + 7 years	Business need	Destroy	Secure Disposal	Restricted		Finance (External Finance (Grants))
FE	12	6	3	Special Circumstances Grant Claim	Current financial year + 7 years	Business need	Destroy	Secure Disposal	Restricted		Finance (External Finance (Grants))
FE	13			Income							
FE	13	1		Administration							
FE	13	1	1	Records relating to school income	Current financial year + 7 years	CIPFA recommendation (Nov. 2008) + Audit requirement	Destroy	Secure Disposal	Restricted		Finance (Corporate Accounting)
FE	13	1	2	Payment of Income to Solihull Community Housing	Current financial year + 7 years	CIPFA recommendation (Nov. 2008) + Audit requirement	Destroy	Secure Disposal	Restricted		Finance (Corporate Accounting)
FE	13	1	3	Birmingham Freeport/Gateway Rental Income Distribution	Current financial year + 7 years	CIPFA recommendation (Nov. 2008) + Audit requirement	Destroy	Secure Disposal	Restricted		Finance (Treasury Management & Insurance Loss Control)
FE	13	1	4	Co-ordinated Services Payments Administration	Current financial year + 7 years	CIPFA recommendation (Nov. 2008) + Audit requirement	Destroy	Secure Disposal	Restricted		Finance (Treasury Management & Insurance Loss Control)
FE	13	1	5	Invoice Billing Forms	Closure date + 3 years	Business need	Destroy	Secure Disposal	Restricted		Finance
FE	13	1	6	Periodic Invoice Accounts	Closure date + 2 years	Business need	Destroy	Secure Disposal	Restricted		Income & Awards (Income)
FE	13	1	7	Periodic Invoice Output Reports	Closure date + 6 months	Business need	Destroy	Secure Disposal	Restricted		Income & Awards (Income)
FE	13	1	8	Request to create an invoice	Closure date + 6 months	Business need	Destroy	Secure Disposal	Restricted		Income & Awards (Income)
FE	13	1	9	Paying in book slips received from G4S	Current financial year + 7 years	CIPFA recommendation (Nov. 2008) + Business need	Destroy	Secure Disposal	Restricted		Finance (Corporate Accounting)
FE	13	1	10	Customer credit card information	Date of event + 6 months	Business need	Destroy	Recycling Disposal	Unrestricted		Solihull Arts Complex (Box Office)
FE	13	1	11	List of current charges	Until superseded	Business need	Destroy	Recycling Disposal	Unrestricted		Individual business areas
FE	14			Internal Recharging							
FE	14	1		Solihull Community Housing							
FE	14	1	1	Recharges Spread sheet	Current financial year + 7 years	Business need	Destroy	Recycling Disposal	Unrestricted		Finance (Corporate Accounting)
FE	15			Investments							
FE	15	1		Administration							
FE	15	1	1	Records relating to the administration of loans	Date of liquidation or maturing of investment + 7 years	Business need	Review for historic value	Recycling Disposal	Unrestricted		Finance (Treasury Management)

REFERENCE				SERIES NAME	RETENTION PERIOD	STATUTORY PROVISIONS	DISPOSAL ACTION	METHOD OF DISPOSAL	PROTECTIVE MARKING	NOTES	OFFICIAL COPY HOLDER
FE	15	1	2	Register	Retain for life of the organisation	Business need	Transfer for historical preservation	Transfer to Local Studies	Restricted	An agreement should be reached with Local Studies to transfer all closed data on a regular basis. Leaving 5 years as a minimum interval between transfers is suggested.	Finance (Treasury Management)
FE	16			Local Taxation							
FE	16	1		Business Rates							
FE	16	1	1	Property Case Files	Closure date + 3 years	Business need	Review for historic value	Secure Disposal	Restricted		Income & Awards (Income)
FE	16	1	2	Visit Reports: Empty Properties	Destroy on receipt of information relating to new occupier or non-occupation of property	Business need	Paper copies: Destroy 2 months after digitisation Electronic copies: Destroy	Secure Disposal	Restricted		Income & Awards (Income)
FE	16	1	3	Visit Reports: Occupied Properties (section 44a)	On receipt	Business need	Transfer to property case file	Secure Disposal	Restricted		Income & Awards (Income)
FE	16	1	4	Change of Circumstances	On receipt	Business need	Transfer to property case file	Secure Disposal	Restricted		Income & Awards (Income)
FE	16	1	5	Occupation Certificate	On receipt	Business need	Transfer to property case file	Secure Disposal	Restricted		Income & Awards (Income)
FE	16	1	6	Visit Reports: New Properties	On receipt	Business need	Transfer to property case file	Secure Disposal	Restricted		Income & Awards (Income)
FE	16	1	7	Charitable Relief Review	Closure date + 3 years	Business need	Destroy	Secure Disposal	Restricted		Income & Awards (Income)
FE	16	1	8	Charitable Relief Applications	Once charity ceases to use the property	Business need	Transfer to property case file	Secure Disposal	Restricted		Income & Awards (Income)
FE	16	2		Council Tax							
FE	16	2	1	Property Case File	Closure date + 3 years	Audit requirement	Paper copies: Destroy 2 months after digitisation Electronic copies: Destroy	Secure Disposal	Restricted		Income & Awards (Income)
FE	16	2	2	Visit Sheets	On completion of build	Business need	Transfer to property case file	Secure Disposal	Restricted		Income & Awards (Income)
FE	16	2	3	Completion Notice	On receipt	Business need	Transfer to property case file	Secure Disposal	Restricted		Income & Awards (Income)
FE	16	2	4	Lettings List	Closure date + 3 years	Business need	Paper copies: Destroy 2 months after digitisation Electronic copies: Destroy	Secure Disposal	Restricted		Income & Awards (Income)
FE	16	2	5	Records relating to the estimation of council tax for the next financial year	Current financial year + 7 years	Business need + Audit requirement	Transfer for historical preservation	Transfer to Local Studies	Restricted		Parish precepts and council tax base: john tolley Council Tax Setting Anna Leggett
FE	16	2	6	Records relating to the publication of the council tax booklet	Current financial year + 7 years	Business need + Audit requirement	Transfer for historical preservation	Transfer to Local Studies	Unrestricted		Finance (Corporate Accounting)
FE	17			National Taxation							
FE	17	1		Value Added Tax (VAT)							
FE	17	1	1	Tax Claim Records 1. Option to Tax 2. Partial Exemption – Annual Adjustment	Current financial year + 7 years	Value Added Tax Act 1994 CIPFA recommendation (Nov. 2008) Business need	Destroy	Recycling Disposal	Unrestricted	Applications can be made to Customs & Excise to shorten the retention periods, if the retention of these records is causing a storage problem	Finance (Corporate Accounting)

REFERENCE				SERIES NAME	RETENTION PERIOD	STATUTORY PROVISIONS	DISPOSAL ACTION	METHOD OF DISPOSAL	PROTECTIVE MARKING	NOTES	OFFICIAL COPY HOLDER
FE	17	1	2	Tax Reclaiming Records 1. Reclaiming Outstanding VAT	Current financial year + 7 years	Value Added Tax Act 1994 CIPFA recommendation (Nov. 2008) Business need	Destroy	Recycling Disposal	Unrestricted	Warning & storage problem. However no records should be destroyed without written agreement from Customs & Excise. Records can be held in any format however original vouchers may be required for audit purposes and permission to convert paper to film may be required.	Finance (Order Processing & Payments)
FE	17	1	3	Central Government VAT returns and disclosures	SEE MANAGEMENT SCHEDULE		Destroy	Recycling Disposal	Unrestricted		Finance (Corporate Accounting)
FE	18			Payroll							
FE	18	1		Allowances & Benefits							
FE	18	1	1	Records relating to financial advances or allowances and any agreements to recover financial advances	Current financial year + 7 years	Limitation Act 1980 + audit period	Destroy	Secure Disposal	Restricted		Human Resources
FE	18	1	2	Death Benefit Nomination and Revocation Forms	Payment of benefit + 6 years or termination of employment	Business need	Destroy	Secure Disposal	Restricted		Human Resources
FE	18	1	3	Travel Passes	Current financial year + 7 years	Limitation Act 1980 + audit period	Destroy	Secure Disposal	Restricted		Human Resources
FE	18	1	4	Records relating to the repayment of advances	Date of repayment + 6 years	Business need	Destroy	Secure Disposal	Restricted		Human Resources
FE	18	1	5	Administration of the Car Loan Scheme	Date of repayment + 7 years	CIPFA recommendation (Nov. 2008) + Audit requirement	Destroy	Secure Disposal	Restricted		Finance (Corporate Accounting) - Meryl Lowe
FE	18	2		Deductions							
FE	18	2	1	Records relating to Student Loan deductions	Current financial year + 3 years	HMRC - Employee Help book E11 (2011)	Destroy	Secure Disposal	Restricted		Human Resources
FE	18	2	2	Records relating to all other deductions	Current financial year + 7 years	Business need based on the Limitation Act 1980	Destroy	Secure Disposal	Restricted		Human Resources
FE	18	3		Financial Incentives							
FE	18	3	1	Golden Hello Scheme (Teachers) – Claim Processing	Until audit has occurred	Business need	Destroy	Secure Disposal	Restricted	Scheme closed on 1 August 2011	Finance (Schools)
FE	18	4		Pay							
FE	18	4	1	All payments made to employees	Current financial year + 7 years	Business need based on the Limitation Act 1980	Destroy	Secure Disposal	Restricted		Human Resources
FE	18	4	2	Records relating to maternity payments which are required to be kept under the Statutory Maternity Pay (General) Regulations 1986 (reg. 26).	Financial year in which the maternity leave ended + 3 years	Statutory Maternity Pay (General) Regulations 1986 (reg. 26) as amended	Destroy	Secure Disposal	Restricted		Human Resources
FE	18	4	3	Maternity Payments (other records)	Financial year in which the maternity leave ended + 18 months	Business need	Destroy	Secure Disposal	Restricted		Human Resources
FE	18	4	4	Records of unpaid leave	Date of birth + 100 years	Required for pension purposes	Review for continuing business use	Secure Disposal	Restricted		Human Resources (Pensions)
FE	18	4	5	Supply Teacher Claim Forms	Current academic year + 2 years	Business need	Destroy	Secure Disposal	Restricted		Human Resources
FE	18	4	6	Lists of striking employees	End of business use	Business need	Destroy	Secure Disposal	Restricted		Human Resources
FE	18	4	7	Records relating to the payment or recovery of Statutory Sick Pay	End of the relevant financial year + 3 years	HMRC - Employee Help book E14 (2011) The Statutory Sick Pay (General) Regulations 1982 (SI 1982/894) as amended	Destroy	Secure Disposal	Restricted		Human Resources
FE	18	5		Remuneration & Rewards							
FE	18	5	1	Records detailing rewards given to employees for performance, long service etc.	Financial year in which confirmation of the award is given + 7 years	Limitation Act 1980 + audit period	Destroy	Secure Disposal	Restricted	Minimum length of time is 3 years	Human Resources

REFERENCE				SERIES NAME	RETENTION PERIOD	STATUTORY PROVISIONS	DISPOSAL ACTION	METHOD OF DISPOSAL	PROTECTIVE MARKING	NOTES	OFFICIAL COPY HOLDER
FE	18	5	2	Records recording the development of the remuneration scheme	Superseded + 6 years	Business need	Transfer for historical preservation	Transfer to Local Studies	Restricted		Human Resources
FE	18	6		Reporting							
FE	18	6	1	Process of creating reports, checking data and reporting on various aspects of payroll	Current financial year + 7 years	Limitation Act 1980 + audit period	Destroy	Secure Disposal	Restricted		Human Resources Payroll Check Meryl Lowe
FE	18	7		Severance							
FE	18	7	1	Calculation of Severance Pay	Current financial year + 7 years	Business need	Transfer as below:- Send payroll information to HRE on completion. Pension information sent to Wolverhampton on completion.	Secure Disposal	Restricted		Finance (Corporate Accounting)
FE	18	8		Taxation							
FE	18	8	1	PAYE records (not required to be sent to HMRC)	Current financial year + 7 years	Business need	Destroy	Secure Disposal	Restricted	Some PAYE records can be disposed of after 3 years however in practice it may be difficult to identify these.	Human Resources
FE	18	8	2	National Insurance Exemption Certificates	Termination of employment	Business need	Destroy	Secure Disposal	Restricted		Human Resources
FE	18	8	3	Backdated National Insurance refunds	Current financial year + 7 years	Business need	Destroy	Secure Disposal	Restricted		Human Resources
FE	18	9		Termination							
FE	18	9	1	Indicative information indicating the amounts employees could be entitled to if made redundant	Date of redundancy + 6 years	CIPD recommendation	Destroy	Secure Disposal	Restricted		Human Resources
FE	19			Pensions							
FE	19	1		Financial Records							
FE	19	1	1	Records of contributions and entitlements	Creation + 40 years or death of members beneficiary (whichever is the greater)	Business need	Transfer to main personnel file	Secure Disposal	Restricted	Statutory need to retain these records under the Operational Pension Schemes (Scheme Administration) Regulations 1996 (section 12 and 14)	Human Resources (Pensions)
FE	19	1	2	Details of the employees association with the scheme (date of joining; payments to employers, members and to advisors; movement/transfer of assets, payments into and out of the scheme (including withdrawals) and details of benefits paid to those leaving the scheme)	End of the scheme year in which the event occurred + 6 years	Operational Pension Schemes (Scheme Administration) Regulations 1996 regulation 12 and 14 Retirement Benefit Schemes (Information Powers) regulation 15, paragraphs 3(f) and 4)	Transfer to main personnel file	Secure Disposal	Restricted	Minimum length of time is 6 years	Human Resources (Pensions)
FE	19	1	3	Notification of change of circumstance to the LGPS	End of financial year in which the change occurred + 6 years	The Retirement Benefits Schemes (Information Powers) Regulations 1995 (SI 1995/3103)	Transfer to main personnel file	Secure Disposal	Restricted		Human Resources (Pensions)

REFERENCE				SERIES NAME	RETENTION PERIOD	STATUTORY PROVISIONS	DISPOSAL ACTION	METHOD OF DISPOSAL	PROTECTIVE MARKING	NOTES	OFFICIAL COPY HOLDER
FE	19	1	4	Records relating to chargeable events a.) repayments to which section 598 of the Taxes act applies (repayment of employees contributions) b.) commutation of employees pension to which section 599 of the Taxes act applies c.) payments to which section 599a of the Taxes act applies (payment to or for the benefit of an employee or personal representatives d.) payments to employers to which section 601 of Taxes act applies (charge to tax on payments to employer out of funds of an exempt approved scheme)	End of scheme year in which the event occurred + 6 years	Retirement Benefit Schemes (Information Powers) regulations 10 and 15, paragraphs 3(f) and 4)	Transfer to main personnel file	Secure Disposal	Restricted		Human Resources (Pensions)
FE	19	1	5	Records relating to the decision to allow retirement due to incapacity	End of the scheme year in which benefits began + 6 years	Retirement Benefit Schemes (Information Powers) reg. 15	Transfer to main personnel file	Secure Disposal	Restricted		Human Resources (Pensions)
FE	19	1	6	Year end balancing	Retain in line with remainder of year end records	Business need	Destroy	Secure Disposal	Restricted		Human Resources (Pensions)
FE	19	1	7	Routine correspondence with all members	Current year + 5 years	Business need	Transfer to main personnel file	Secure Disposal	Restricted		Human Resources (Pensions)
FE	19	1	8	Correspondence with individual members	Date of birth + 100 years	Required for pension purposes	Transfer to main personnel file	Secure Disposal	Restricted		Human Resources (Pensions)
FE	19	1	9	Civil registration certificates	Date of birth + 100 years	Required for pension purposes	Transfer to main personnel file	Secure Disposal	Restricted	Return original to owner and retain a copy	Human Resources (Pensions)
FE	19	1	10	Details relating to current beneficiaries	Termination of benefit + 10 years	Business need	Transfer to main personnel file	Secure Disposal	Restricted		Human Resources (Pensions)
FE	19	2		Benefit Calculations							
FE	19	2	1	Estimate Spread sheet	Date of retirement + 6 years	CIPD recommendation	Transfer to main personnel file	Secure Disposal	Restricted		Human Resources (Pensions)
FE	19	3		Scheme Administration							
FE	19	3	1	Administration	Creation + 40 years or death of the members beneficiary	Business need	Transfer to main personnel file	Secure Disposal	Restricted		Human Resources (Pensions)
FE	19	3	2	Routine correspondence	Current year + 5 years	Business need	Transfer to main personnel file	Secure Disposal	Restricted		Human Resources (Pensions)
FE	19	3	3	Records concerning the relationship between Solihull MBC and the Local Government Pension Scheme	Termination of relationship + 5 years	Business need	Destroy	Secure Disposal	Restricted		Human Resources (Pensions)
FE	19	4		Teachers Pensions							
FE	19	4	1	Retired Pension Scheme	Termination of benefit + 10 years	Business need	Destroy	Secure Disposal	Restricted	Scheme ended sometime ago but there are existing beneficiaries of this scheme.	Human Resources (Pensions)
FE	20			Policy							
FE	20	1		Regulations							
FE	20	1	1	Financial Regulations Manual	Current financial year + 1 year	Business need	Destroy	Recycling Disposal	Unrestricted		Finance (Business Support)
FE	21			Property Valuation							
FE	21	1		Business Rates							
FE	21	1	1	Valuation Schedules Valuation Office Schedule (Amendments by the Valuation Office)	Year of Valuation + 10 years	Business need	Paper copies: Destroy 2 months after digitisation Electronic copies: Transfer for historical preservation	Secure Disposal Transfer to Local Studies	Restricted		Income & Awards (Income)

REFERENCE				SERIES NAME	RETENTION PERIOD	STATUTORY PROVISIONS	DISPOSAL ACTION	METHOD OF DISPOSAL	PROTECTIVE MARKING	NOTES	OFFICIAL COPY HOLDER
FE	21	1	2	Valuation Queries	Closure date + 10 years	Business need	Paper copies: Destroy 2 months after digitisation Electronic copies: Transfer for historical preservation	Secure Disposal Transfer to Local Studies	Restricted		Income & Awards (Income)
FE	21	1	3	Valuation Controls	On completion	Business need	Transfer to the Valuation Office Schedules	Secure Disposal	Restricted	Retain evidence of the balance	Income & Awards (Income)
FE	21	1	4	Requests for changes to the current property valuation	Closure date + 10 years	Business need	Paper copies: Destroy 2 months after digitisation Electronic copies: Transfer for historical preservation	Secure Disposal Transfer to Local Studies	Restricted		Income & Awards (Income)
FE	21	1	5	Transitional Certificates	On completion	Business need	Transfer to the Valuation Office Schedules	Secure Disposal	Restricted		Income & Awards (Income)
FE	21	1	6	Objections	Year of Valuation + 10 years	Business need	Review for historic value	Secure Disposal	Restricted		Income & Awards (Income)
FE	21	1	7	Reports	Year of Valuation + 10 years	Business need	Review for historic value	Recycling Disposal	Unrestricted		Income & Awards (Income)
FE	21	2		Council Tax							
FE	21	2	1	Completion Notices	End of exemption period + 1 year	Based on business need	Paper copies: Destroy 2 months after digitisation Electronic copies: Transfer for historical preservation	Recycling Disposal Transfer to Local Studies	Unrestricted		Income & Awards (Income)
FE	21	2	2	Reports	Year of Valuation + 10 years	Business need	Review for historic value	Recycling Disposal	Unrestricted		Income & Awards (Income)
FE	21	3		General Rates							
FE	21	3	1	Valuation Schedules Valuation Office Schedule (Amendments by the Valuation Office)	Year of Valuation + 10 years	Business need	Transfer for historical preservation	Transfer to Local Studies	Restricted	General Rates system ended in 1990 and was superseded by Council Tax	Income & Awards (Income)
FE	21	3	2	Rate Books	End of business use	Business Need	Transfer for historical preservation	Transfer to Local Studies	Restricted		Income & Awards (Income)
FE	21	3	3	Rate Cards	End of business use	Business Need	Transfer for historical preservation	Transfer to Local Studies	Restricted		Income & Awards (Income)
FE	21	3	4	Register of Rateable Properties	End of business use	Business Need	Transfer for historical preservation	Transfer to Local Studies	Restricted		Income & Awards (Income)
FE	22			Reconciliation							
FE	22	1									
FE	22	1	1	Children's Information Performance System (CHIPS)	Current financial year + 6 Years	The National Archives Publication: Records Management Retention Scheduling No. 3 Accounting Records (version 3. issued March 2006)	Destroy	Secure Disposal	Restricted		Performance, Policy & Information (Information Management)

REFERENCE				SERIES NAME	RETENTION PERIOD	STATUTORY PROVISIONS	DISPOSAL ACTION	METHOD OF DISPOSAL	PROTECTIVE MARKING	NOTES	OFFICIAL COPY HOLDER
FE	22	1	2	Records relating to financial reconciliations	Current financial year + 7 years	CIPFA recommendation (Nov. 2008) + Audit requirement	Destroy	Secure Disposal	Restricted		Bank; rent; payroll; financial systems Finance (Corporate Accounting) Treasury Management Jim Lund Liability Balancing Helen Bloomfield Cash Book Finance (Corporate Accounting)
FE	22	1	4	Domiciliary Care	Retain in line with invoice records	Business need	Destroy	Secure Disposal	Restricted	Process taken over by the Care Trust from April 2009 - October 2010	Finance (Order Processing & Payments)
FE	22	1	5	Suspense Files	Closure date + 1 year	Business need	Destroy	Recycling Disposal	Unrestricted		Income & Awards (Income)
FE	22	1	6	Unapplied Receipts Reports	Cleared + 1 year	Business need	Destroy	Recycling Disposal	Unrestricted		Income & Awards (Income)
FE	22	1	7	Revenues Income Statement (Accountancy Sheets)	Closure date + 6 year	Business need	Destroy	Recycling Disposal	Unrestricted		Income & Awards (Income)
FE	22	2		Reports							
FE	22	2	1	Process of reconciling Oracle Financials with the previous days transactions	Closure date + 2 weeks	Business need	Destroy	Secure Disposal	Restricted		Income & Awards (Income)
FE	22	2	2	Blue Reports used to update or reconcile Northgate (SX3) – Daily & monthly reports	Closure date + 1 week	Business need	Destroy	Secure Disposal	Restricted		Income & Awards (Income)
FE	22	2	3	Blue Reports used to update or reconcile Northgate (SX3) – Quarterly Statistics	Closure date + 1 year	Business need	Destroy	Secure Disposal	Restricted		Income & Awards (Income)
FE	23			Refunds							
FE	23	1		Arranging							
FE	23	1	1	Cancellation and reissue of refund payments (Refund Reversals)	Closure date + 3 years	Business need	Destroy	Secure Disposal	Restricted		Income & Awards (Income)
FE	23	1	2	Approved Refund List	Closure date + 3 years	Business need	Destroy	Secure Disposal	Restricted		Income & Awards (Income)
FE	23	1	3	Process of identifying where refunds are due	Closure date + 3 years	Business need	Destroy	Secure Disposal	Restricted		Income & Awards (Income)
FE	23	1	4	Reports detailing refunds awaiting management endorsement	Closure date + 1 year	Audit requirement	Destroy	Secure Disposal	Restricted		Income & Awards (Income)
FE	23	1	5	Requests to Raise a Credit Note	End of business use	Business need	Destroy	Secure Disposal	Restricted		Income & Awards (Income)
FE	24			Strategy and Planning							
FE	24	1		Strategy							
FE	24	1	1	Treasury Management Strategies	Current financial year + 7 years	Business need	Review for historic value	Recycling Disposal	Unrestricted		Finance (Treasury Management)
FE	25			Trust Funds							
FE	25	1									

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REFERENCE	SERIES NAME	RETENTION PERIOD	STATUTORY PROVISIONS	DISPOSAL ACTION	METHOD OF DISPOSAL	PROTECTIVE MARKING	NOTES	OFFICIAL COPY HOLDER
HS	Health & Safety							
HS 1	Community Safety							
HS 1 1	Fire Safety							
HS 1 1 1	Fixed Asset Database	[to be confirmed]						
HS 1 1 2	Fire Risk Assessment (includes findings, actions and details of "at risk" persons)	When superseded	Regulatory Reform (Fire Safety) Order 2005 (reg. 9)	Destroy	Secure Disposal	Restricted		Local Authority Properties: Governance Services
HS 2	Compliance							
HS 2 1	Policies							
HS 2 1 1	Policy Statements - General	Superseded + 6 years	Health & Safety at Work Act (1974) Section 2 (3)	Destroy	Recycling Disposal	Unrestricted		Governance Services
HS 2 1 2	Policy Statements - Radiation	Superseded + 50 years	The Ionising Radiations Regulations 1985	Review for continuing business use	Recycling Disposal	Unrestricted		Governance Services
HS 2 1 3	Policy Statements - Asbestos	Superseded + 40 years	Control of Asbestos at Work Regulations 2002 (section 21)	Review for continuing business use	Recycling Disposal	Unrestricted		Property Services
HS 2 1 4	Local Code of Good Governance	Final [to be confirmed]	[to be confirmed]	[to be confirmed]	Recycling Disposal	Unrestricted		Democratic Services
		Draft Closure date + 3 years	Business need	Destroy				Governance Services
HS 2 1 5	Accident and Emergency procedures related to asbestos	[to be confirmed]		Review for continuing business use	Recycling Disposal	Unrestricted	Retained to demonstrate compliance with regulations 9 & 14 of the Control of Asbestos at Work Regulations 2002	Property Services Individual business areas
HS 2 1 6	Accident and Emergency procedures related to lead	Superseded + 6 years	Business need	Review for continuing business use	Recycling Disposal	Unrestricted	Retained to demonstrate compliance with regulation 12 of the Control of Lead at Work Regulations 2002	Property Services Individual business areas
HS 2 2	Training							
HS 2 2 1	Information provided to employees (e.g. posters, newsletters etc.)	Current year + 3 years	Business need	Destroy	Recycling Disposal	Unrestricted		Governance Services
HS 2 2 2	All records associated with training employees	Closure date + 5 years	Business need	Destroy	Recycling Disposal	Unrestricted		Governance Services
HS 3	First Aid							
HS 3 1	First aid checklists	Date of completion + 1 year	Business need	Destroy	Recycling Disposal	Unrestricted		Individual business areas
HS 4	Monitoring							
HS 4 1	Health & Safety Inspections							
HS 4 1 1	Buildings - Inspections & defaults	Closure date + 5 years	Business need	Destroy	Recycling Disposal	Unrestricted		Facility Manager Site Managers
HS 4 1 2	Outdoor Play Areas & Equipment	[to be confirmed]		Destroy	Recycling Disposal	Unrestricted		Schools: ? Parks: ?
HS 4 1 3	Audit Reports	Closure date + 5 years	Business need	Destroy	Recycling Disposal	Unrestricted		Governance Services
HS 4 2	Asbestos							
HS 4 2 1	Plan of asbestos works (Required under regulation 7 of Control of Asbestos at Work Regulations 2002)	Duration of asbestos works	Control of Asbestos at Work Regulations 2002 (reg. 7(2))	Destroy	Recycling Disposal	Unrestricted	Required under regulation 7 of the Control of Asbestos at Work Regulations 2002	Property Services
HS 4 3	Hazardous Substances							
HS 4 3 1	Air monitoring records requiring health surveillance	Closure date + 40 years	Control of Asbestos at Work Regulations 2002 (reg. 18(4))	Review for continuing business use	Recycling Disposal	Unrestricted		Individual business areas Asset Management

HS	4	3	2	Air monitoring records not requiring health surveillance	Closure date + 5 years	Control of Asbestos at Work Regulations 2002 (reg. 18(4))	Review for continuing business use	Recycling Disposal	Unrestricted		Individual business areas Asset Management
HS	4	4		Meetings							
HS	4	4	1	Agendas and Minutes of Health and Safety Groups	Closure date + 6 years	Safety Representatives and Safety Committees Regulations 1977 and Health & Safety (Consultation with employees) Regulations 1996	Destroy	Recycling Disposal	Unrestricted		Corporate Minutes: Governance Services Local Minutes: Individual business areas
HS	5			Reporting							
HS	5	1		Accidents & Incidents							
HS	5	1	1	Reporting of accidents (including violent incidents) <i>(NOTE: If accident involves a hazardous substance other retention periods apply)</i>	Adults: Closure date + 5 years Children: Closure date + 25 years	Reporting of Injuries Diseases and Dangerous Occurrences Regulations 1995/3163 (Regulation 7) Business need	Destroy	Recycling Disposal	Unrestricted	Transfer potential claims to Insurance Services	Governance Services
HS	5	1	2	Annual Report	Current year + 3 years	Business need	Destroy	Recycling Disposal	Unrestricted		Governance Services
HS	5	1	3	Accident Statistics	Current year + 5 years	Business need	Review for historic value	Recycling Disposal	Unrestricted		Governance Services
HS	5	1	4	Maintenance and inspection of control measures related to asbestos	Closure date + 5 years	Control of Asbestos at Work Regulations 2002 (reg. 12(3))	Destroy	Recycling Disposal	Unrestricted		Property Services
HS	5	1	5	Maintenance and inspection of control measures related to lead	Closure date + 5 years	Control of Lead at Work Regulations 2002 (reg. 8(4))	Destroy	Recycling Disposal	Unrestricted		Individual business areas
HS	5	1	6	Parental permission slips (where no major incident has occurred)	End of event	Business need	Destroy	Secure Disposal	Restricted		Individual business areas
HS	5	1	7	Parental permission slips (where a major incident has occurred)	End of business use	Business need	Transfer to accident report	Secure Disposal	Restricted		Individual business areas
HS	5	2		Hazardous Substances							
HS	5	2	1	Records of exposure within the workplace	General exposure: Closure date + 5 Personal exposure of identifiable employee: Closure date + 40	The Control of Substances Hazardous to Health Regulations 2002 (reg. 10(s)(b)) The Control of Substances Hazardous to Health Regulations 2002 (reg. 10(5(a)))	Destroy Review for continuing business use	Recycling Disposal Secure Disposal	Unrestricted Restricted		Human Resources Individual business areas
HS	5	2	2	Records of exposure which may lead to future disease	Last exposure + 40 years	The Control of Substances Hazardous to Health Regulations 2002 (schedule 9)	Review for continuing business use	Secure Disposal	Restricted		Human Resources Individual business areas
HS	5	2	3	List of employees exposed to group 3 and 4 biological agents	Closure date + 40 years	The Control of Substances Hazardous to Health Regulations 2002 (reg. 7 (10) and schedule 3 paragraph 4)	Review for continuing business use	Secure Disposal	Restricted		Individual business areas
HS	5	2	4	Control Equipment: records of inspection & maintenance	Closure date + 5 years	The Control of Substances Hazardous to Health Regulations 2002 (reg. 7 (10) and schedule 3 paragraph 4)	Destroy	Recycling Disposal	Unrestricted		Individual business areas
HS	5	3		Ionising Regulation							
HS	5	3	1	Maintenance & inspection of personal protective equipment	Inspection + 2 years	Ionising Regulations (reg. 10)	Destroy	Recycling Disposal	Unrestricted		Education Individual schools
HS	5	3	2	Reasons for implementing dose limitation system	Closure date + 50 years	Ionising Regulations (reg. 11(2) and Schedule 4, part II para. 17)	Destroy	Recycling Disposal	Unrestricted		Education Individual schools
HS	5	3	3	Specialist training records	Termination of employment + 6 years	Business need	Destroy	Secure Disposal	Restricted		Education Individual schools
HS	5	3	4	Measuring the radiation dosage	Closure date + 2 years	Ionising Regulations (reg. 18(5))	Destroy	Recycling Disposal	Unrestricted		Education Individual schools

HS	5	3	5	Maintenance and testing of control equipment	Closure date + 2 years	Ionising Regulations (reg. 19(4))	Destroy	Recycling Disposal	Unrestricted		Education Individual schools
HS	5	3	6	Individual radiation dose assessments	Date of birth + 75 years	Ionising Regulations (reg. 21(3))	Review for continuing business use	Secure Disposal	Restricted	These records must be kept for a minimum of 50 years	Education Individual schools
HS	5	3	7	Summary of radiation dose assessments	End of calendar year + 2 years	Ionising Regulations (reg. 21(7))	Destroy	Recycling Disposal	Unrestricted		Education Individual schools
HS	5	3	8	Investigation report	Closure date + 2 years	Ionising Regulations (reg. 22(4))	Destroy	Secure Disposal	Restricted		Education Individual schools
HS	5	3	9	Individual radiation accident assessments	Date of birth + 75 years	Ionising Regulations (reg. 23(2))	Review for continuing business use	Secure Disposal	Restricted	These records must be kept for a minimum of 50 years	Education Individual schools
HS	5	3	10	Radiation health records	Date of birth + 75 years	Ionising Regulations (reg. 24(3))	Review for continuing business use	Secure Disposal	Restricted	These records must be kept for a minimum of 50 years	Education Individual schools
HS	5	3	11	Overexposure report	Date of birth + 75 years	Ionising Regulations (reg. 25(2))	Review for continuing business use	Secure Disposal	Restricted	These records must be kept for a minimum of 50 years	Education Individual schools
HS	5	3	12	Record of testing	Disposal of item + 2 years OR further record made following a test	Ionising Regulations (reg. 27(3))	Review for continuing business use	Secure Disposal	Restricted		Education Individual schools
HS	5	3	13	Records detailing the quantity and location of radioactive substances	Closure date + 2 years + a minimum of 2 years following disposal of radioactive substance	Ionising Regulations (reg. 28)	Review for continuing business use	Recycling Disposal	Unrestricted		Education Individual schools
HS	5	3	14	Investigation reports	Minor Accident: Closure date + 2 years Remainder: Closure date + 50 years	Ionising Regulations (reg. 30(5) and reg. 32(7))	Review for continuing business use	Secure Disposal	Restricted		Education Individual schools
HS	6			Risk Management							
HS	6	1		Assessments							
HS	6	1	1	General Assessments	Termination + 5 years	Business need	Destroy	Recycling Disposal	Unrestricted		Governance Services Individual managers hold risk assessments for their own area
HS	6	1	2	Hazardous Substances – findings of risk assessments	Termination + 10 years	The Control of Substances Hazardous to Health Regulations 2002 (reg. 6)	Review for continuing business use	Recycling Disposal	Unrestricted	Although this record could be disposed of when superseded, it would be unwise to do so. Retain for 10 years, particularly where dangerous exposures have occurred then review.	Individual managers hold risk assessments for their own area
HS	6	1	3	Questionnaire (including partnership and benchmarking)	When superseded	Business need	Destroy	Recycling Disposal	Unrestricted		Governance Services
HS	5	1	4	Noise Exposure Assessments	When superseded	Noise at Work Regulations 1989 (reg. 4.1)	Destroy	Secure Disposal	Restricted		Governance Services
HS	5	1	5	Asbestos – significant findings of risk assessments	Duration of asbestos works	Control of Asbestos at Work Regulations 2002 (reg. 6(4))	Destroy	Secure Disposal	Restricted	Under regulation 6 of the Control of Asbestos at Work Regulations 2002	Property Services
HS	5	1	6	Risk Assessments (Adults)	Closure date + 6 years	Limitation Act 1980	Destroy	Secure Disposal	Restricted		Governance Services
HS	5	1	7	Risk Assessments (Children)	Date of birth + 25 years	Limitation Act 1980	Destroy	Secure Disposal	Restricted		Solihull Music Service
HS	5	1	8	VDU Assessments	Closure date + 3 years		Destroy	Secure Disposal	Restricted		Individual business areas

HS	5	1	9	Warning Markers – Service User records	Retain in line with the Warning Marker policy	Business need	Destroy	Secure Disposal	Restricted		Education & Children's Services
HS	5	2		Training							
HS	5	2	1	All records associated with training employees (excluding hazardous substances)	Closure date + 5 years	Business need	Destroy	Secure Disposal	Restricted		Governance Services
HS	5	2	2	Hazardous substances employee training records	Termination of employment + 6 years	Business need	Review for continuing business use	Secure Disposal	Restricted	Required to demonstrate compliance with COSHH (regulation 12)	Local Management Team Resilience Team
HS	5	2	3	Records created to provide employees with information e.g. posters, bulletins, newsletters etc.	Current year + 3 years	Business need	Destroy	Recycling Disposal	Unrestricted		Governance Services
HS	5	2	4	Employee training related to asbestos	[to be confirmed]	Control of Asbestos at Work Regulations 2002	Review for continuing business use	Secure Disposal	Restricted	Retained to demonstrate compliance with regulations 9 and 14 of the Control of Asbestos at Work Regulations 2002	Governance Services Property Services Individual business areas
HS	5	2	5	Employee training related to lead	Termination of employment or Closure date + 6 years <i>whichever is the longer</i>	Control of Lead at Work Regulations 2002	Review for continuing business use	Secure Disposal	Restricted	Retained to demonstrate compliance with regulation 11 of the Control of Lead at Work Regulations 2002	Individual business areas
HS	5			Emergency Planning							
HS	5	3									
HS	5	3	1	Logs	[to be confirmed]			Recycling Disposal	Unrestricted		
HS	5	3	2	Accident & Emergency Plans	Superseded + 6 years	Business need	Destroy	Recycling Disposal	Unrestricted	As required by COSHH (regulation 13)	Local Management Team Resilience Team

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REFERENCE				SERIES NAME	RETENTION PERIOD	STATUTORY PROVISIONS	DISPOSAL ACTION	METHOD OF DISPOSAL	PROTECTIVE MARKING	NOTES	OFFICIAL COPY HOLDER
HR				Human Resources							
HR	1			Absences							
HR	1	1		Leave							
HR	1	1	1	Records recording all contractual entitlement to leave (e.g. holiday, compassionate leave etc.)	Current financial year + 3 years	Business need	Destroy	Recycling Disposal	Unrestricted		Individual employees
HR	1	1	2	Records recording the authorisation and administration of statutory entitlement to leave (e.g. parental leave etc.)	Completion of entitlement + 7 years	Limitation Act 1980 + audit period	Destroy	Secure Disposal	Restricted		Human Resources
HR	1	1	3	Records relating to the payment and taking of maternity leave	End of the tax year in which the maternity leave ends + 3 years	The Statutory Maternity Pay (General) Regulations 1986 (reg. 26)	Destroy	Secure Disposal	Restricted	Retain a record of the date of birth. No copy of the birth certificate should be kept.	
HR	1	1	4	Records relating to the payment and taking of paternity leave	Date of birth + 6 years or if the child is disabled, Date of birth + 18 years	Business need	Destroy	Secure Disposal	Restricted		
HR	1	2		Monitoring							
HR	1	2	1	Summary leave history	Date of birth + 100 years	Required for pension purposes	Review for continuing business use	Secure Disposal	Restricted		Human Resources
HR	1	2	2	Timesheets	Current financial year + 3 years	Based on Working Time Regulations 1998 (SI/1998/183)	Destroy	Recycling Disposal	Unrestricted		Individual employees
HR	1	2	3	Leave cards	Current financial year + 3 years	Based on Working Time Regulations 1998 (SI/1998/183)	Destroy	Recycling Disposal	Unrestricted		Individual employees
HR	1	2	4	Annual absence summary reports	Superseded + 5 years	Business need	Destroy	Recycling Disposal	Unrestricted		Human Resources
HR	1	3		Reporting							
HR	1	3	1	Statistics	Current financial year + 3 years	Business need	Destroy	Recycling Disposal	Unrestricted		
HR	1	3	2	Performance reports	Closure + 5 years	Business need	Destroy	Recycling Disposal	Unrestricted		Deana Leonard (HR)
HR	2			Advice							
HR	2	1		General							
HR	2	1	1	Advice to employees	End of business use	Limitation Act 1980	Transfer to main personnel file	Recycling Disposal	Unrestricted		Human Resources
HR	3			Employee Benefits							
HR	3	1		Contract Management							
				For records relating to the management of the contract see the Procurement retention schedule							
HR	3	1	1	List of current benefits	Paper copy: Closure + 12 months Electronic Copy: Superseded	Business need	Destroy	Recycling Disposal	Unrestricted		Human Resources
HR	4			Employee Recognition							
HR	4	1		Awards							
HR	4	1	1	Long Service Awards (report)	Current financial year + 1 year	Business need	Destroy	Recycling Disposal	Unrestricted		Human Resources
HR	5			Employee Transfers							
HR	5	1		Secondment							
HR	5	1	1	Process of arranging a secondment placement	End of secondment + 6 years	Business need	Destroy	Secure Disposal	Restricted		
HR	5	2		TUPE							
HR	5	2	1	Records relating to the process of transferring staff into or out of the organisation	Date of transfer + 10 years	Business need	Destroy	Secure Disposal	Restricted		Human Resources
HR	6			Equal Opportunities							
HR	6	1		Access to Employment							

REFERENCE				SERIES NAME	RETENTION PERIOD	STATUTORY PROVISIONS	DISPOSAL ACTION	METHOD OF DISPOSAL	PROTECTIVE MARKING	NOTES	OFFICIAL COPY HOLDER	
HR	6	1	1	New Deal Scheme		Retain in line with European grant funded records	European Regulations (unidentified)	Review for continuing business use Review for historic value	Secure Disposal	Restricted	This retention period may be extended by the European Commission. Retain all documentation.	Solihull Partnership
HR	6	2		Complaints Handling								
HR	6	2	1	Formal complaints concerning discrimination	Date of last action + 6 years		Limitation Act 1980	Destroy	Secure Disposal	Restricted		Equalities & Diversity
HR	6	3		Compliance								
HR	6	3	1	Race Equality scheme and action plan	Superseded + 3 years		Race Relations (amendment) Act 2000	Destroy	Recycling Disposal	Unrestricted		Equalities & Diversity
HR	6	3	2	Disability Equality scheme and action plan	Superseded + 3 years		Disability Discrimination Act 2005	Destroy	Recycling Disposal	Unrestricted		Equalities & Diversity
HR	6	3	3	Gender Equality scheme and action plan	Superseded + 3 years		Equality Act 2010	Destroy	Recycling Disposal	Unrestricted		Equalities & Diversity
HR	6	3	4	Sexual Orientation Equality scheme	Superseded + 3 years		Equality Act (Sexual Orientation) Regulations 2007	Destroy	Recycling Disposal	Unrestricted		Equalities & Diversity
HR	6	3	5	Equality and Diversity Impact assessment	Closure + 5 years		Business need	Destroy	Recycling Disposal	Unrestricted		Equalities & Diversity
HR	6	3	4	Policies & procedures	Superseded + 5 years		Business need	Destroy	Recycling Disposal	Unrestricted		Equalities & Diversity
HR	6	4		Monitoring								
HR	6	4	1	Summary statistical information	Closure date + 5 years		Business need	Destroy	Recycling Disposal	Unrestricted		Equalities & Diversity
HR	7			Job Evaluation								
HR	7	1		Large Scale Projects (Single Status)								
HR	7	1	1	Process of Evaluation	Closure + 20 years		Business need	Review for continuing business use	Secure Disposal	Restricted	As Solihull MBC was one of the first councils to go through Single Status, it is recommended that these records are retained until there is no risk of legal challenge.	Human Resources
HR	7	1	2	Grading decisions	Closure + 20 years		Business need	Review for continuing business use	Secure Disposal	Restricted		Human Resources
HR	7	1	3	Summary of Final Decisions	Closure + 20 years		Business need	Review for continuing business use	Secure Disposal	Restricted		Human Resources
HR	7	2		New Vacancies								
HR	7	2	1	Process of evaluation (correspondence & working papers)	Current year + 1 year		Business need	Review for continuing business use	Recycling Disposal	Restricted		Human Resources
HR	7	2	2	Final results	Superseded + 10 years		Business need	Review for continuing business use	Recycling Disposal	Restricted		Human Resources
HR	7	2	3	Development of job descriptions	Until final version produced		Business need	Destroy	Secure Disposal	Unrestricted		Human Resources (Recruitment)
HR	7	2	4	Evaluation of job descriptions	Superseded + 5 years		CIPD recommendation	Destroy	Secure Disposal	Unrestricted		Human Resources (Recruitment)
HR	8			Industrial Relations Management								
HR	8	1		Committees								
HR	8	1	1	Records detailing the operation of negotiating committees	Current year + 3 years		Business need	Transfer for historical preservation	Transfer to Local Studies	Unrestricted		CNCC Human Resources Remainder Individual directorates
HR	8	1	2	Union reports	Current year + 1 year		Business need	Destroy	Secure Disposal	Restricted		Human Resources
HR	8	1	3	Agreements with Trade Unions	Termination of agreement + 10 years		CIPD recommendation	Destroy	Recycling Disposal	Unrestricted		
HR	8	1	4	Routine communications including minutes of meetings	Current year + 2 years		Business need	Destroy	Recycling Disposal	Unrestricted	Handwritten copy of meeting minutes destroyed when printed minutes agreed.	
HR	8	1	5	Consultations or negotiations on specific issues	Current year + 2 years		Business need	Destroy	Recycling Disposal	Unrestricted		
HR	9			Occupational Health (records held by the Occupational Health Service provider)								

REFERENCE				SERIES NAME	RETENTION PERIOD	STATUTORY PROVISIONS	DISPOSAL ACTION	METHOD OF DISPOSAL	PROTECTIVE MARKING	NOTES	OFFICIAL COPY HOLDER
				Occupational Health records are held by the Occupational Health Service provider. For access to these records please contact Human Resources							
HR	9	1		Counselling							
HR	9	1	1	Case management	Creation + 5 years						
HR	9	2		Employee Case File							
				Files closed prior to October 2010 are held by Heartlands Hospital. Files current at, or opened after October 2010, are held with the current Occupational Health Provider, Santia.							
HR	9	2	1	Pre-employment Health Questionnaire (person appointed to post)	Date of questionnaire + 7 years	Business need	Destroy	Secure Disposal	Restricted		Occupational Health Provider
HR	9	2	2	Pre-employment Health Questionnaire (person not appointed to post)	Appointment to post + 3 months	Business need	Destroy	Secure Disposal	Restricted		Occupational Health Provider
HR	9	2	3	Medical Referrals	Retain in line with personnel files	Business need	Destroy	Secure Disposal	Restricted		Occupational Health Provider
HR	9	2	4	Health Surveillance forms (employees exposed to Hazardous Substances)	Termination of employment + 50 years	Business need (based on statutory regulations)	Review for continuing business use	Secure Disposal	Restricted		Occupational Health Provider
HR	9	2	5	Consultations (excluding health surveillance)	Retain in line with personnel files	Business need	Destroy	Secure Disposal	Restricted		Occupational Health Provider
HR	9	2	6	Medical Reports	Termination of employment + 50 years	Business need	Destroy	Secure Disposal	Restricted		Occupational Health Provider
HR	9	2	7	Policies & procedures	Retain for length of organisation	Business need	Destroy	Recycling Disposal	Unrestricted		
HR	9	3		Welfare							
HR	9	3	1	Development of workforce welfare schemes	Creation + 5 years	Business need	Destroy	Recycling Disposal	Unrestricted		
HR	10			Organisational Structure							
HR	10	1		Internal Council							
HR	10	1	1	Structure Charts	Until superseded	Business need	Transfer for historical preservation	Transfer to Local Studies	Unrestricted	Ensure that only those charts with role names on them are transferred to Local Studies	
HR	10	1	2	Management of restructuring process	Completion of process + 2 years	Business need	Destroy	Recycling Disposal	Unrestricted		
HR	11			Personnel Files							

REFERENCE	SERIES NAME	RETENTION PERIOD	STATUTORY PROVISIONS	DISPOSAL ACTION	METHOD OF DISPOSAL	PROTECTIVE MARKING	NOTES	OFFICIAL COPY HOLDER			
<p>Maintenance Personnel files should be maintained in accordance with the guidance below and expired information should be removed on a regular basis to ensure that only current information remains on the file.</p> <p>On termination of employment the manager should remove non-current information from the file and forward their copy of the employees personnel file to Human Resources. Human Resources will then merge the local managers file into the main personnel file, removing all non-current information.</p> <p>If the employee moves within the council then the local manager should remove non-current information from the file and send the remainder of the file to the new manager within 30 days of the employee leaving the previous post.</p> <p>General Retention Advice</p> <ol style="list-style-type: none"> Personnel files containing pension information (whether joining the pension or not) should be retained for 100 years from the employees date of birth. Personnel files which do not contain pension information should be destroyed 6 years after the termination of employment. Personnel files of those employees working with children and whose files do not contain pension information should be retained for 25 years after the termination of employment. Personnel files for sponsored migrant workers should be retained for 1 year after the sponsorship has ended (UKBA Guidance for Sponsor applications, tiers 2, 4 and 5, 2008, Appendix D). <p>Sending Files Offsite Before these records are sent offsite the files must be split into 3 groups according to their record type:</p> <ol style="list-style-type: none"> those which contain pension information those with no pension information those files with no pension information but concerning employees working with children <p>Each file should be reviewed and expired information removed before being sent offsite.</p> <p>Historical Records Personnel records relating to senior executives should be transferred to Local Studies.</p>											
HR	11	1		Appointment							
HR	11	1	1	Qualifications	Termination of employment + 6 years	Limitation Act 1980	Destroy	Secure Disposal	Restricted		Human Resources
HR	11	1	2	References (received)	Termination of employment + 6 years	Limitation Act 1980	Destroy	Secure Disposal	Restricted		Human Resources
HR	11	1	3	Criminal Records Bureau Disclosures	Appointment + 12 months <i>Longer should a dispute occur</i>	Criminal Records Bureau advice	Destroy	Secure Disposal	Restricted	No reproduction can be made without agreement of the Criminal Records Bureau. A record of the date of the check, the reference number and the decision made can be retained.	Human Resources
HR	11	1	4	Proof of identity	EEA Applicants: Appointment + 6 months Non-EEA Applicants (Sponsored): Termination of employment + 2 years	Equality Act 2010 UK Border Agency guidelines - Comprehensive Guidance for Employers on Preventing Illegal Working. November 2010 (page 9) (Issued under the Prevention of Illegal Working, Immigration, Asylum and Nationality Act 2006)	Destroy	Secure Disposal	Restricted	All pages in the passport which show the persons details should be copied and retained	Human Resources
HR	11	2		Casual/Essential Car Users							
HR	11	2	1	Proof of eligibility to drive vehicles	Until superseded	CIPD recommendation	Destroy	Secure Disposal	Unrestricted	A record of all drivers licences & expiry dates should be retained. The list should be reviewed and updated annually. Should a driver be close to receiving a ban it may be wise to recheck their licences every 6 months.	Human Resources
HR	11	3		Discipline							
HR	11	3	1	First Warning	Retain in line with personnel files	Business need	Destroy	Secure Disposal	Restricted		Human Resources

REFERENCE				SERIES NAME	RETENTION PERIOD	STATUTORY PROVISIONS	DISPOSAL ACTION	METHOD OF DISPOSAL	PROTECTIVE MARKING	NOTES	OFFICIAL COPY HOLDER	
HR	11	3	2	Second Warning		Retain in line with personnel files	Business need	Destroy	Secure Disposal	Restricted		Human Resources
HR	11	3	3	Final Warning		Retain in line with personnel files	Business need	Destroy	Secure Disposal	Restricted		Human Resources
HR	11	4		Disciplinary Matters Reporting								
				All files relating to disciplinary cases must be returned to Human Resources at the end of the case. Human Resources will be responsible for the retention of these records.								
HR	11	4	1	Allegations relating to child protection issues	Normal retirement age + 10 years	<p>Education Act 2002 guidance "Dealing with Allegations of Abuse against Teachers and Other Staff" November 2005; NSPCC Guidance on child protection records retention and storage, 2007;</p> <p>Working Together to Safeguard Children (2006) (p. 241)</p>	Destroy	Secure Disposal	Restricted	<p>Records may be held separately to the personnel file.</p> <p>A clear summary of the allegations, investigation and decision should be placed on the personnel file. A copy of this summary should be given to the employee.</p>	Human Resources	
HR	11	4	2	Grievances not related to the terms and conditions of employment	Last action on case + 2 years	Business need	Destroy	Secure Disposal	Restricted	Records may be held separately to the personnel file. A summary of the final decision should be placed on the personnel file.	Human Resources	
HR	11	4	3	Grievances related to the terms and conditions of employment and where there is a case to be answered	Last action on case + 6 years	Limitation Act 1980	Destroy Transfer for historical preservation any cases of national significance	Secure Disposal	Restricted	Records may be held separately to the personnel file. A summary of the final decision should be placed on the personnel file.	Human Resources	
HR	11	4	4	Investigations where no case to answer	Completion of investigation Malicious allegations must be removed immediately from the personnel file	<p>Employment Practices Code: Supplementary Guidance 2.13.1 (Records of Disciplinary and Grievance)</p> <p>Education Act 2002 guidance "Dealing with Allegations of Abuse against Teachers and Other Staff" November 2005;</p>	Destroy	Secure Disposal	Restricted	<p>There are exceptions to this rule to protect the employer e.g. allegations concerning abuse where the employee routinely works with children.</p> <p>Where allegations are unfounded, this must be made clear.</p>	Human Resources	
HR	11	4	5	Cases which involve an employment tribunal	Last action in case + 6 years	Limitation Act 1980	Destroy	Secure Disposal	Restricted		Human Resources	
HR	11	4	6	Policies & procedures	Superseded + 5 years	Business need	Destroy	Recycling Disposal	Unrestricted		Human Resources	
HR	11	5		Employee Details								
HR	11	5	1	Basic personal and contact details of individual employees - main copy	<p>Paper: Once added to Oracle</p> <p>Electronic: Date of birth + 100 years</p>	Required for pension purposes	Place on main personnel file	Secure Disposal	Restricted	<p>EEA Applicants: Retain current version only</p> <p>Non-EEA Applicants: History of contact details needs to be retained</p> <p>(UK Border Agency Guidance for Sponsor applications, tiers 2, 4 and 5, 2008, Appendix D)</p>	Human Resources	

REFERENCE				SERIES NAME	RETENTION PERIOD	STATUTORY PROVISIONS	DISPOSAL ACTION	METHOD OF DISPOSAL	PROTECTIVE MARKING	NOTES	OFFICIAL COPY HOLDER
HR	11	5	2	Basic personal and contact details of individual employees - local managers copy	Termination of employment	Business need	Destroy	Secure Disposal	Restricted	Retain current version only	Individual business areas
HR	11	5	3	Current bank details	Paper: Once added to Oracle Electronic: End of business use	Business need	Destroy	Secure Disposal	Restricted		Human Resources
HR	11	6		Employee History							
HR	11	6	1	Summary of job history	Date of birth + 100 years	Required for pension purposes	Review for continuing business use	Secure Disposal	Restricted		Human Resources
HR	11	7		Disclosure of Interests							
HR	11	8		Disclosure of Information							
HR	11	8	1	Requests for references for banks, confirmation of employment etc.	Current year + 1 year	Business need	Destroy	Secure Disposal	Restricted		
HR	11	9		Performance Appraisal							
HR	11	9	1	Appraisal records	Completion of actions + 6 years	Limitation Act 1980	Destroy	Secure Disposal	Restricted	Includes records identifying training needs	Human Resources
HR	11	9	2	Appraisal records - Employee copy	Date of award + 1 year	Business need	Destroy	Secure Disposal	Restricted		Individual employees
HR	11	9	3	Appraisal records - Manager copy	End of business use	Business need	Place on local managers HR file	Secure Disposal	Restricted		Local managers
HR	11	9	4	One to One Supervision	Completion of actions + 2 years	Business need	Destroy	Secure Disposal	Restricted	Retain for longer if performance issues are occurring. Record must be regularly reviewed and disposed of as soon as possible after end of concerns.	Local managers
HR	11	9	5	Probation Records	Completion of probation period + 6 years	Limitation Act 1980	Destroy	Secure Disposal	Restricted		Human Resources
HR	11	10		Personal Risk Assessments							
HR	11	10	1	Pregnancy Risk Assessment	Date of return to work + 1 year or Termination of employment + 1 year (If employment terminates within the maternity period)	Business need	Destroy	Secure Disposal	Restricted		Current Employees: Individual Managers Ex-employees: Human Resources
HR	11	10	2	Other Personal Risk Assessments	Date of assessment + 6 years	Limitation Act 1980	Destroy	Secure Disposal	Restricted		Current Employees: Individual Managers Ex-employees: Human Resources
HR	11	11		Recruitment							
HR	11	11	1	Application forms - Successful candidates	End of business use	Limitation Act 1980	Place on main personnel file	Secure Disposal	Restricted	Place on main personnel file	Human Resources (Recruitment)
HR	11	11	2	Interview and candidate record - Successful candidate	Current year + 1 year	Business need	Destroy	Secure Disposal	Restricted		Current Employees: Individual Managers Ex-employees: Human Resources
HR	11	12		Sickness Monitoring							
HR	11	12	1	Medical Certificates	Current financial year + 6 years	Business need	Destroy	Secure Disposal	Restricted	Care should be taken to ensure that these are completed correctly.	Human Resources
HR	11	12	2	Statutory sickness records	Current financial year + 6 years	Business need	Destroy	Secure Disposal	Restricted		Human Resources

REFERENCE				SERIES NAME	RETENTION PERIOD	STATUTORY PROVISIONS	DISPOSAL ACTION	METHOD OF DISPOSAL	PROTECTIVE MARKING	NOTES	OFFICIAL COPY HOLDER
HR	12	1	1	Final versions	Superseded + 10 years	CIPD recommendation	Transfer for historical preservation	Transfer to Local Studies	Unrestricted		Human Resources
HR	12	1	2	Working papers	Superseded + 2 years	Business need	Destroy	Recycling Disposal	Unrestricted		Human Resources
HR	12	2		Monitoring							
HR	12	2	1	Process of monitoring the progress of named policies from creation to approval	When superseded	Business need	Destroy	Recycling Disposal	Unrestricted		Human Resources
HR	12	2	2	Quarterly Monitoring	Closure + 2 years	Business need	Destroy	Recycling Disposal	Unrestricted		Human Resources
HR	13			Recruitment (if sponsored migrant then different retention periods apply)							
				For sponsored migrant workers please see XXXXX							
HR	13	1		Authorisation							
HR	13	1	1	Internal authorisation for recruitment	Date of appointment	Business need	Destroy	Recycling Disposal	Unrestricted		Individual business areas
HR	13	2		Equalities & Diversity							
HR	13	2	1	Monitoring	Current year + 5 years	Business need	Destroy	Recycling Disposal: Anonymised data Secure Disposal: Person identifiable information	Restricted		Equality & Diversity
HR	13	2	2	Programmes	Completion + 5 years	Business need	Destroy	Recycling Disposal	Unrestricted		Equality & Diversity
HR	13	2	3	Statistics used for reporting purposes	Creation + 10 years	Business need	Transfer for historical preservation	Transfer to Local Studies	Unrestricted		Equality & Diversity
HR	13	2	4	Statistics generated on an adhoc basis	Creation + 2 years	Business need	Destroy	Recycling Disposal	Unrestricted		Equality & Diversity
HR	13	3		Recruitment Process							
				For successful candidates please see Personnel file (recruitment)							
HR	13	3	1	Process of advertising a vacancy (including working papers)	EEA Applicants: Appointment + 6 months Non-EEA Applicants (Sponsored): Appointment + 1 year	Equality Act 2010 UK Border Agency Guidance for Sponsor applications, tiers 2, 4 and 5, 2008, Appendix D	Destroy	Recycling Disposal	Unrestricted	Need to keep copies of the advertisement (as placed) showing the title and date of publication. A screenshot is sufficient for those jobs advertised on websites.	Human Resources (Recruitment)
HR	13	3	2	Ethnic Monitoring Questionnaire/Reports	Closure + 5 years	The Race Relations Act 1976	Destroy	Secure Disposal	Restricted		Human Resources (Recruitment)
HR	13	3	3	Performance Data and Statistics	Creation + 5 years	Business need	Transfer for historical preservation	Transfer to Local Studies	Unrestricted		Human Resources (Recruitment)
HR	13	3	4	Unsolicited Enquiries	Receipt of application + 3 months	CIPD recommendation	Destroy	Secure Disposal	Restricted		Human Resources (Recruitment)
HR	13	3	5	Psychometric Testing	Date of test + 6 months	Business need	Destroy	Secure Disposal	Restricted		Human Resources (Recruitment)
HR	13	3	6	Interview and candidate record - Unsuccessful candidates	Appointment + 6 months	Business need	Destroy	Secure Disposal	Restricted		Individual business areas
HR	13	3	7	Requests for application forms and enquiries concerning the post	Appointment + 6 months	Business need	Destroy	Secure Disposal	Restricted		Human Resources (Recruitment)
HR	13	3	8	Applications for internal posts made by current employees	Duration of role + 1 year	Business need	Destroy	Secure Disposal	Restricted		
HR	13	3	9	Monitoring	Current year + 1 year	Business need	Destroy	Secure Disposal	Unrestricted		Human Resources (Recruitment)
HR	13	3	10	Application forms - Unsuccessful candidates	EEA Applicants: Appointment + 6 months Non-EEA Applicants (Sponsored): Appointment + 1 year	Equality Act 2010 UK Border Agency Guidance for Sponsor applications, tiers 2, 4 and 5, 2008, Appendix D	Destroy	Secure Disposal	Restricted		Human Resources (Recruitment)

REFERENCE				SERIES NAME	RETENTION PERIOD	STATUTORY PROVISIONS	DISPOSAL ACTION	METHOD OF DISPOSAL	PROTECTIVE MARKING	NOTES	OFFICIAL COPY HOLDER
HR	13	3	11	References (unsuccessful candidates)	EEA Applicants: Appointment + 6 months Non-EEA Applicants (Sponsored): Appointment + 1 year	Equality Act 2010 UK Border Agency Guidance for Sponsor applications, tiers 2, 4 and 5, 2008, Appendix D	Destroy	Secure Disposal	Restricted		
HR	13	3	12	All records relating to the recruitment of volunteers and those wanting work experience	Superseded + 1 year	Business need	Destroy	Recycling Disposal	Unrestricted		Human Resources (Recruitment)
HR	13	3	13	Certificates/qualifications	EEA Applicants: Appointment + 6 months Non-EEA Applicants (Sponsored): Appointment + 1 year	Equality Act 2010 UK Border Agency Guidance for Sponsor applications, tiers 2, 4 and 5, 2008, Appendix D	Destroy	Secure Disposal	Restricted		Human Resources (Recruitment)
HR	13	3	14	Job Descriptions (successful applicants)	End of business use	Business need	Transfer to main personnel file	Secure Disposal	Restricted		Human Resources (Recruitment)
HR	13	3	15	Job Descriptions (unsuccessful applicants)	EEA Applicants: Appointment + 6 months Non-EEA Applicants (Sponsored): Appointment + 1 year	Equality Act 2010 UK Border Agency Guidance for Sponsor applications, tiers 2, 4 and 5, 2008, Appendix D	Destroy	Secure Disposal	Restricted		Human Resources (Recruitment)
HR	14			Redeployment							
HR	14	1		First Consideration							
HR	14	1	1	List of employees	When superseded	Business need	Destroy	Secure Disposal	Restricted		Human Resources (Recruitment)
HR	15			Registers							
HR	15	1		Employment							
HR	15	1	1	All employees employed by the organisation	Retain for length of organisation	Business need	Transfer for historical preservation	Transfer to Local Studies	Restricted	An agreement should be reached with Local Studies to transfer all closed data on a regular basis. Leaving 5 years as a minimum interval between transfers is suggested.	Human Resources (Recruitment)
HR	16			Skills							
HR	16	1									
HR	17			Termination of Employment							
HR	17	1		Reasons							
HR	17	1	1	Exit Interviews or surveys	Termination of employment + 7 months	Business need	Destroy	Secure Disposal	Restricted		Human Resources
HR	18			Terms & Conditions of Employment							
HR	18	1		Terms & Conditions							
HR	18	1	1	Statements	Superseded + 6 years	Business need	Destroy	Secure Disposal	Unrestricted		Human Resources
HR	18	1	2	Development of terms and conditions for groups of employees	Superseded + 5 years	Business need	Destroy	Secure Disposal	Unrestricted		Human Resources
HR	19			Training							
HR	19	1		Arrangements							
HR	19	1	1	Individual evaluation feedback of a course	Completion of analysis	CIPD recommendation	Destroy	Secure Disposal	Restricted		
HR	19	1	2	Proof of completion	Closure + 7 years	Business need	Destroy	Recycling Disposal	Unrestricted		
HR	19	1	3	Statistics	Creation + 5 years	Business need	Review for historic value	Recycling Disposal	Unrestricted		
HR	19	1	4	Training records (general)	Closure + 2 years	Business need	Destroy	Recycling Disposal	Unrestricted		
HR	19	1	5	Requests	Current year + 1 year	Business need	Destroy	Recycling Disposal	Unrestricted		

REFERENCE				SERIES NAME	RETENTION PERIOD	STATUTORY PROVISIONS	DISPOSAL ACTION	METHOD OF DISPOSAL	PROTECTIVE MARKING	NOTES	OFFICIAL COPY HOLDER
HR	19	1	6	Bookings	Completion of course	Business need	Destroy	Recycling Disposal	Unrestricted		
HR	19	1	7	Learning resources	Superseded OR Termination of course	Business need	Destroy	Recycling Disposal	Unrestricted		
HR	19	1	8	Course documentation	Completion of course	Business need	Destroy	Recycling Disposal	Unrestricted		
HR	19	1	9	Attendee information	Completion of course	Business need	Destroy	Recycling Disposal	Unrestricted	Anonymised data retained for statistical reasons	
HR	19	1	10	Development, delivery and assessment of induction courses	Current year + 5 years	CIPD recommendation	Destroy	Recycling Disposal	Unrestricted		
HR	19	1	11	Administration of the induction course	Completion of course + 1 year	CIPD recommendation	Destroy	Recycling Disposal	Unrestricted	Final version of the induction course should be transferred to Local Studies	
HR	19	1	12	Analysis of evaluation forms					Unrestricted		
HR	19	2		Corporate Training Plan							
HR	19	3		Reporting							
HR	19	4		Courses							
HR	19	4	1	Materials	Date of course + 1 year	Business need	Destroy	Recycling Disposal	Unrestricted		
HR	19	4	2	Programme, course materials and handouts	Supersedure or termination of course	Business need	Destroy	Recycling Disposal	Unrestricted		Organisational Development, Human Resources Individual copies of documentation held by employees
HR	20			Workforce Planning							
HR	20	1		Performance Data							
HR	20	1	1	Analysis & Statistics	Current year + 10 years	Business need	Review for historic value	Recycling Disposal	Unrestricted		
HR	20	1	2	Summary of appraisal assessments	Current year + 3 years	Business need	Destroy	Recycling Disposal	Unrestricted		
HR	20	1	3	Development of the performance review system	Life of the system + 5 years	Business need	Destroy	Recycling Disposal	Unrestricted		
HR	20	2		Employee Relations							
HR	20	2	1	Questionnaires	Closure + 5 years	Business need	Destroy	Anonymised data could be placed in the Recycling waste otherwise confidential waste disposal	Restricted		Human Resources
HR	20	3		Workforce Development							
HR	20	3	1	Assessment of workforce requirements and solutions for meeting these requirements	Current year + 3 years	CIPD recommendation	Destroy	Recycling Disposal	Unrestricted		
HR	20	3	2	Analysis of workforce requirements	Current year + 3 years	Business need	Review for historic value	Recycling Disposal	Unrestricted		
HR	20	3	3	Monitoring contract lengths	Superseded + 5 years	Business need	Destroy	Recycling Disposal	Unrestricted		
HR	20	4		Workforce Surveys							
HR	20	4	1	Responses from identifiable individuals	Completion of analysis	Business need	Destroy	Secure Disposal	Restricted		
HR	20	4	2	Process of creating the survey and anomyised analysis of the results	Completion of survey + 5 years	Business need	Transfer for historical preservation	Transfer to Local Studies	Unrestricted		
HR	20	5		Workforce Consultation							
HR	20	5	1	Process of creating the consultation and analysis of the results	Closure + 5 years	Business need	Transfer for historical preservation	Transfer to Local Studies	Unrestricted		

PROTECTIVE MARKINGS

PROTECT

- Inconvenience or cause discomfort to an individual.
- Minor failure in local Magistrates court.
- Loss to public sector of anything up to £1 Million.
- Significant financial loss to an individual or business.
- Disruption or cancellation of services to a local service.
- Cancellation of services to a number (up to 100) of citizens.
- Isolated or minor incident to which a Local Authority is not able to react within a few days which affects a small number of individual's / businesses.
- Financial loss to an individual or business.
- Low risk to an individual's personal safety (e.g. the compromise of the address of a victim of abuse, where there is a low risk of further abuse if such information became known).
- Loss or improper use of personal information belonging to one or more citizen's which is likely to cause them inconvenience, embarrassment, or actual determent such as financial loss or identity theft.
- Minimal disruption to service delivery for one or more individual's.

RESTRICTED

- Risk to an individual's personal safety or liberty.
- To facilitate the commission of, or impede the investigation or prosecution of low level crime.
- Loss to HMG/Public Sector of £Millions.
- Undermine the financial viability of a minor UK-based or UK-owned organisation.
- Inconvenience and impact on public confidence in public services likely to result in undermined confidence in the service provider generally.
- Authority-wide disruption with an impact on the health of citizens.
- Major incident to which a Local Authority is not able to react within 24 hours affecting a large number of individual's / businesses.
- Cancellation of multiple services to a number (up to 1000) of citizens.
- Loss or improper use of sensitive[1] personal information belonging to one or more citizen's or financially significant information likely to cause them embarrassment or actual determent such as financial loss or identity theft.
- Significant financial loss to any individual or business causing financial hardship.
- Directly lead to a risk to an individual's personal safety (e.g. the compromise of the address of a victim of abuse, where there is a reasonable risk of further abuse if such information became known).
- Minor injuries to a group of individuals or serious injury to an individual.
- Significant disruption to service delivery for a number of individuals.
- Prolonged distress for an individual, short term distress or significant embarrassment for many individuals.

CONFIDENTIAL

- Risk to a group of individuals security or liberty.
- To facilitate the commission of, or impede the investigation or prosecution of serious crime
- Loss to HMG/Public Sector of £10s Millions, up to £100 Million.
- Significant Authority-wide disruption, compromise or flawed services which could lead to major health risks.
- Loss of major services leading to a major financial loss to local authorities or citizens.
- Major incident to which a Local Authority is not able to react within 24 hours affecting a large number of people.
- Adverse affect on the Critical National Infrastructure (e.g. food, water, power).
- Adverse affect on Defence, International Relations, Security and Intelligence.
- Loss or illicit use of many citizens' sensitive[2] or financially significant personal data leading to detriment, such as embarrassment, financial loss or identify theft.
- Serious injury to several individuals or compromise of a group of individual's personal safety.
- Prolonged and severe distress for a significant number of individuals or extreme distress for an individual.
- Substantial disruption to service delivery to a large group of individuals. Lack of services may directly threaten the safety or wellbeing of an individual or small group of individuals.
- Significant financial loss to any individual or business causing financial hardship.