

Documentation Retention and Destruction Procedures and Guidelines Working Document

Efficient records management is a key factor in the effective and efficient administration of daily business operations. Ensuring that records are properly created, stored and easily accessible helps staff to maintain and extend levels of high performance. The January 2005 Freedom of Information Act encourages the Service to be an open and approachable organisation promoting greater accountability for all information held: this gives the community confidence in the competency of the Service. This schedule applies to all records that are created, received or maintained by Hereford & Worcester Fire and Rescue Service, its employees, Members or representatives in the course of carrying out Service activity which has been or may be used as evidence of an action or decision.

This schedule is updated according to Acts of Parliament, Statutory Instruments, Standing Orders, Approved Codes of Practice and current Fire and Rescue Service Policy/Instructions and financial regulations. The scheme follows the Retention Guidelines for Local Authorities produced by the Records Management Society of Great Britain. Any additions, deletions or amendments should be forwarded to Bethan Groom, Information Management Administrator, Fire and Rescue Service Headquarters, Copenhagen Street, Worcester, WR1 2HQ.

All current records are to be retained by individual/relevant departments.

Once a document/file is closed, records over one year are to be archived by the following means:

- In – house (Administration/Finance/Personnel Archives)
- Worcestershire and Herefordshire Record Offices
- Clerk to the Authority
- Destruction, in line with attached schedule.

When records are destroyed at the end of their retention period, all backup copies must also be destroyed in order to ensure compliance with the Data Protection Act 1998 and the Freedom of Information Act 2000. In cases of investigation by Police, Internal Audit or the Audit Commission, all destruction procedures on the information concerned must cease immediately regardless of storage format.

This Retention and Disposal Schedule has been approved by:

<u>Director of Corporate Services</u>
Editor's Copy Signed

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1. Fire and Rescue Authority and Committee Meetings

Reference Number	Function Description	Retention Action	Example Records	Location
1.1	Corporate Services			
	Minutes, Agendas and Reports	Permanent		Corporate Services
1.2	Committee Services			
	Committee Minutes, Agendas, Business Papers, Indexes	Permanent		Corporate Services
	FRA Committee Minutes – signed	Permanent		Corporate Services
	Minute Taking/Draft Minutes	Retain until final minutes are confirmed		Corporate Services
	Register of Declarations of Financial and Other Interests	Destroy 1 year after last action		Corporate Services
	Urgent Decisions Committee	Permanent		Corporate Services
	Appeals Committee	Permanent		Corporate Services
	Appointments Committee	Permanent		Corporate Services
	Audit and Budget Committee	Permanent		Corporate Services
	Best Value, Policy and Performance Committee	Permanent		Corporate Services
	Standards Committee	Permanent		Corporate Services
1.3	Member’s Register of Interests			Clerk to the Authority
	Declarations of Gifts of Hospitality	Destroy 1 year after last action		Corporate Services

2. Corporate Management and Administration

Reference Number	Function Description	Retention Action	Example Records	Location
2.1	Corporate Planning and Retention			Corporate Services
	Performance Plan	Permanent		Corporate Services
	Best Value Review	Destroy 5 years after last action		Corporate Services
	Business Plans	Permanent		Corporate Services
2.2	Corporate Services/Registry			Corporate Services
	General Correspondence/Memos	Destroy 3 years after last action		Corporate Services
	Delivery Documentation	Current year only		Corporate Services
	Timesheets	Destroy 3 years after last action		Corporate Services
	Leave Request Forms	Destroy 3 years after last action		Corporate Services
	Copies of Public Notices	Destroy 2 years after last action		Corporate Services
	Visitor Signing In and Out Logs	Destroy 3 years after last action		Corporate Services
2.3	Policies, Procedures, Strategy and Structure			Corporate Services
	Policies and Principles	Permanent		Corporate Services
	Service Policy/Instructions	Destroy 8 years after last action		Corporate Services
	Committee Structure	Permanent		Corporate Services
	Disability Scheme	Permanent		Corporate Services
	Equal Opportunities Policy	Permanent		Corporate Services
	Race Equality Scheme	Permanent		Corporate Services
2.4	Information Management			
	Fire Service Circulars	Destroy 8 years after last action		PO Secretariat
	ODPM Circulars	Destroy 8 years after last action		PO Secretariat
	Chief Officer Memoranda	Review every 10 years		PO Secretariat
	Photographs, Plans, Maps and Drawing	Permanent		Corporate Services

2. Corporate Management and Administration

Reference Number	Function Description	Retention Action	Example Records	Location
2.5	Complaints/Appreciation			Corporate Services
	Complaints and Concerns	Destroy 7 years after last action		Corporate Services
	Letters of Appreciation/Donation	Destroy 6 years after last action		Corporate Services
	Non-Routine Correspondence	Destroy 6 years after last action		Individual Departments
	Routine Request and Enquiry Correspondence	Destroy 2 years after last action		Individual Departments
2.6	Freedom of Information/Data Protection Requests			Corporate Services
	Information Already Open	Destroy 1 year after last action		Corporate Services
	Subsequently Opened Information	Destroy 2 years after last action		Corporate Services
	Exempt Information	Retain for same period as the information is exempt, plus additional 2 years.		Corporate Services
2.7	Quality and Performance Management			Corporate Services
	Risk Strategy	Destroy 3 years after last action		Corporate Services
	Risk Registers	Destroy 3 years after last action		Corporate Services
2.8	Insurance			Corporate Services
	Public Liability Policies	Permanent		Corporate Services
	Product Liability Policies	Permanent		Corporate Services
	Insurance Policy Documentation	Permanent		Worcester County Council
	Insurance Contracts	Permanent		
	Insurance Register	Permanent		
	Insurance Claims – Fire	Destroy 4 years after last action		
	Insurance Claims – Motor Vehicles	Destroy 4 years after last action		
2.9	Litigation			Corporate Services
	Litigation Cases	Destroy 7 years after last action	Criminal, Childcare, Civil	Corporate Services
	Legal Advice	Destroy 3 years after last action		Corporate Services

3. Legal and Contracts

Reference Number	Function Description	Retention Action	Examples of Records	Location
3.1	Contract Register			Corporate Services
	Service Level Agreements	Destroy 2 years after terms of contract have expired		Corporate Services
	Agreements with other public bodies/concordat	Destroy 6 years after agreement expires		Corporate Services
3.2	Conveyance			Property
	Conveyancing files	Destroy 12 years after last action		Property
3.3	Contract and Tendering			Corporate Services
	Approved Suppliers Lists	Destroy 11 years after last action		Corporate Services
	Tender schedules	Destroy 2 years after last action		Corporate Services
	Tenders – Successful	Destroy 6 years after final payment		Corporate Services
	Tenders – Unsuccessful	Destroy after final payment made on successful Tender		Corporate Services
	Contracts – Executed Under Hand	Destroy 6 years after last action	Final Accounts, Specification, Evaluation Criteria, Quotations, Signed Contracts	Corporate Services
	Contracts – Executed Under Seal	Destroy 12 years after last action	Final Accounts, Specification, Evaluation Criteria, Quotations, Signed Contracts	Corporate Services
	Expressions of Interest	Destroy 2 years after contract completed or not proceeded with		Corporate Services
	Land Charges/Searches	Destroy 6 years after last action		Corporate Services
3.4	Tenancy Agreements			Property
	Tenancy Agreements – Sealed	Destroy 12 years after terms expired		Property
	Tenancy Agreements – Signed	Destroy 6 years after terms expired		Property
3.5	Partnership Register			Corporate Services
	Partnership records, resolutions and database	Permanent – Archive after administrative use has concluded		Corporate Services

4. Human Resources

Reference Number	Function Description	Retention Action	Examples of Records	Location
4.1	Personnel Administration			Personnel
	Organisational Charts	Permanent – Archive once administrative use has concluded		Personnel
	Nominal Role	Permanent		Personnel
	Personnel records	Permanent	Medical, payment etc	Personnel
	Wholetime Record files	Permanent		Personnel
	Part-time Record files	Permanent		Personnel
	Attendance/Pay	Destroy 8 years after last action		Personnel
	Monthly Staffing returns	Destroy 10 years after last action		Personnel
	Annual Leave Records	Destroy 2 years after last action		Personnel
	Contracts	Permanent		Personnel
	Trust deeds/rules/investment contribution records/Inland Revenue approvals	Permanent		Personnel
	Maternity Pay	Destroy 5 years after last action		Personnel
	Appraisal Records (PDR)	Destroy 5 years after last action		Personnel
4.2	Disciplinary Proceedings			Personnel
	Oral Warning	Destroy 6 months after last action		Personnel
	Written Warning	Destroy 1 year after last action		Personnel
	Final Warning	Destroy 18 months after last action		Personnel
	Warnings Involving Children	Placed on Personnel File permanently. Destroy with Personnel File.		Personnel
	Redundancy Papers	Destroy 12 years after last action		Personnel
	Trade Union Agreements – Significant	Permanent		Personnel
	Trade Unions Agreements – Minor/Routine	Destroy 2 years after last action		Personnel
4.3	Employment Relations			Personnel
	Equal Opportunity Cases	Destroy 5 years after last action		Personnel
	Employment Tribunal Claims	Destroy 6 years after last action		Personnel
	Inter-departmental Transfers	Destroy 3 years after last action		Personnel

4. Human Resources

Reference Number	Function Description	Retention Action	Examples of Records	Location
4.4	Occupational Health			Personnel
	Sickness Absence Records	Destroy 6 years after last action		Personnel
	Occupational Health and Safety	Destroy 50 years after last action		Personnel
	Medical Questionnaire Leavers Forms	Destroy 40 years after completion date		Personnel
	Ill Health or Injury on Duty	Destroy once employee is 72 years of age		Personnel
	Medical/Self Certificates	Destroy 4 years after date of Certificate		Personnel
4.5	Recruitment			Personnel
	Recruitment Records	Destroy 5 years after last action		Personnel
	Application Forms	Destroy 1 year after last action		Personnel
	Interview References	Destroy 1 year after recruitment finalised		Personnel
	Unsuccessful applicants: Chief Officers Grades from SO1/2 Other Grade	Destroy 4 years after last action Destroy 2 years after last action Destroy 1 year after last action		Personnel
4.6	Training			Training
	Training Concerning Children	Destroy 35 years after last action		Training
	Routine Staff Training	Destroy 2 years after last action		Training
	Training Materials	Destroy 1 year after last action		Training
	Training Awards/Certificates	Destroy 7 years after last action		Training
4.7	Health & Safety			H&S
	Health and Safety Reports	Destroy 14 years after last action		H&S
	Health and Safety Monitoring	Destroy 3 years after last action		H&S
	Radiation/Radon Monitoring	Destroy 50 years after last action		H&S
	Accident Report and Records	Destroy 30 years after last action		H&S
	Accident Books	Destroy 3 years after last action		H&S
	COSHH Records	Destroy 3 years after last action		H&S
	Asbestos Monitoring	Destroy 40 years after last action		H&S
	Equipment Inspection Records	Destroy 6 years after destruction of equipment		H&S

5. Financial Management

Reference Number	Function Description	Retention Action	Examples of Records	Location
5.1	Accounts and Audit			Finance
	Cheques/remittance advice	Destroy 6 years after last action		Finance
	Cheque lists	Destroy 3 years after last action	Creditors/payrolls	Finance
	Petty cash, receipt books, budgetary info	Destroy 6 years after last action		Finance
	Bank Statements	Destroy 6 years after last action		Finance
	General finance records	Destroy 5 years after last action	Budget sheets/audit	Finance
	Contracts for raw material purchase	Destroy 12 years after expiry		Finance
	Car leasing and mileage records	Destroy 6 years from end of lease or repayment		Fleet
5.2	Financial Transactions Management			Finance
	Sales invoices/credit notes	Destroy 6 years after last action		Finance
	Tax Records	Destroy 7 years after last action		Finance
	VAT Claims	Destroy 6 years after last action		Finance
	VAT Records	Destroy 3 years after last action		Finance
5.3	Payroll			Finance
	Wages	Destroy 6 years after last action		Finance
	Overtime claims	Destroy 6 years after last action		Finance
	Statutory Sick Pay	Destroy 4 years after last action		Finance
	Tax and National Insurance records	Destroy 6 years after last action		Finance
	Tax Code Notifications	Destroy 3 years after last action		Finance
	Pay and conditions	Destroy 5 years after last action		Finance
5.4	Financial Provisions			Finance
	Pension Records	Destroy 72 + DOB years after last action		Finance
5.5	Members			Finance
	Member's Subsistence/Mileage	Destroy 6 years after last action		Finance
	Member's Allowances	Destroy 6 years after last action		Finance

6. Property

Reference Number	Function Description	Retention Action	Examples of Records	Location
6.1	Property and Land Management			Property
	Property Register	Permanent		Property
	Rent Payments	Destroy 7 years after initial financial year	Rent books, requests for payments	Property
	House Sales	Destroy 15 years after all obligations/entitlements are concluded	Particulars of sale documents	Property
6.2	Property Acquisition and Disposal			Property
	Title deeds and property related documents	Destroy 15 years after expiry interest ends		Property
	Property Files – Disposal by Sale or Write-Off	Destroy 15 years after all obligations/entitlements are concluded	Sale Documents, tenders, conditions of contracts	Property
6.3	Property Development and Renovation			Property
	Planning Inquiries	Permanent		Property
	Planning permission	Permanent		Property
	Architect/builder agreements	Destroy 6 years after contract ends		Property
	Renovation Management Files	Retain for life of property	Plans, installation manuals, certificates of approval	Property
6.4	Occupancy			Property
	Premises files	Permanent		Property
	Lease Agreements	Destroy 15 years after lease ends		Property
	Lease Applications	Destroy 15 years after lease ends		Property
	Valuation Queries	Destroy 15 years after lease ends		Property
6.5	Property Assets			Property
	Asset inventories	Destroy 2 years after last action	Routine returns, asset status reports, stock takes	Property
	Asset monitoring and management summaries	Destroy 7 years after last financial transaction		Property
	Asset purchases, leases and sales	Destroy 6 years after last action if under £50,000 or 12 years if over £50,000 after all obligations/entitlements are concluded		Property

6. Property

Reference Number	Function Description	Retention Action	Examples of Records	Location
	Asset Registers	Permanent	All Service Property	Property
	Minor inventories – Furniture/Office Equipment	Destroy 2 years after last action		Corporate Services
	Major inventories – Furniture/Office Equipment	Destroy 6 years after last action		Corporate Services
	Property Disposal registers	Permanent		Property

7. General Public Services

Reference Number	Function Description	Retention Action	Examples of Records	Location
7.1	Emergency Planning			Operations
	Major Disaster Plans	Permanent		Operations
	Scientific Adviser Details	Permanent		Operations
	General Correspondence	Destroy 3 years after last action		Operations
7.2	Major Incident			Operations
	Major Incident Plan	Permanent		Operations
	Results for Testing of Major Incident Plans	Destroy 10 years after last action		Operations
	Major Incident Case Files	Permanent		Operations
	Minor Incident Case Files	Destroy 7 years after last action		Operations
7.3	Investigation, Inspection and Monitoring			Operations
	Fire Prevention Files and Plans	Permanent		Operations
	Fire Safety Correspondence	Destroy 7 years after last action		Operations
	FDR1	Permanent		Operations
	Incident Reports	Destroy 11 years after last action		Operations
	Incident Sheets	Destroy 9 years after last action		Operations
	Incident Statistics	Destroy 16 years after last action		Operations
	Incident Narrative	Destroy 9 years after last action		Operations
	Emergency Special Service Reports	Destroy 8 years after last action		Operations
	Water/Hydrant Information	Destroy 4 years after last action		Operations
7.4	Prosecution			Operations
	Prosecution Files	Destroy 7 years after last action		Operations
7.5	Recycling/Waste Management			Operations
	Trade Waste files	Destroy 6 years after last action		Property
				Property

8. Infrastructure and Transport

Reference Number	Function Description	Retention Action	Examples of records	Location
8.1	Fleet Management			Fleet
	Ancillary Vehicle and Plant Defect/ Log Books	Destroy 7 years after disposal of vehicle		Fleet
	Operational Vehicle and Plant Defect/ Log Books	Destroy 7 years after disposal of vehicle		Fleet
	Asset Register – Vehicles	Permanent		Fleet
8.2	Equipment Management and Maintenance			ESG
	Product specifications	Destroy 6years after last action		ESG
	Operational Equipment Tests/ Log Books	Destroy 13 years after last action		ESG
	Stores requisitions	Destroy 3 years after last action		ESG
	Goods returned to Stores notes	Destroy 3 years after last action		ESG
	Asset Register – Equipment	Permanent		ESG
8.3	Station Management			Stations
	Station Diary	Destroy 3 years after last action		
	Watch Duty Books	Destroy 3 years after last action		
	Visiting Officers Books	Destroy 7 years after last action		
	Individual Training Records	Destroy DOB + 25 years after last action		
	Service Training Records	Permanent		
	Standard Test Records	Destroy 3 years after last action		

9. Public Relations

Reference Number	Function Description	Retention Action	Examples of Records	Location
9.1	Civic and Royal Events			Chief Fire Officer
	Civic Events	Permanent	Photographs, visitor's books, order of events	Chief Fire Officer
	Royal Visits	Permanent	Photographs, visitor's books, order of events	Chief Fire Officer
	Royal Visits and Civic Events	Destroy 7 years after last action	Organisation files	Chief Fire Officer
9.2	Press & Public Relations			
	Press Releases	Permanent		To be offered to Public Record Office
	Designs for Publications	Destroy 3 years after last action		Media & Design
	Publications	Retain 1 copy only in local archive		Media & Design

10. Internal Audit

Reference Number	Function Description	Retention Action	Examples of Records	Location
10.1	Reports			
	Interim Audit Reports	Destroy 6 years after last action		
	Audit Reports	Destroy 6 years after last action		
	Fraud Report Records	Destroy 6 years after legal proceedings have been completed		
10.2	Undertakings			
	Terms of Reference	Destroy 3 years after last action		