



Monmouthshire County Council

Development Management and Building Control

Records Retention Schedule

Introduction and guidance notes

1. This Development Management and Building Control Records Retention Schedule is issued under the Monmouthshire County Council's Retention Policy and should be applied in accordance with that Policy. It is also issued in accordance with the Development Management and Building Control Privacy notice which set out how we process personal information.
2. This Schedule sets out the periods for which the Development Management and Building Control Departments records should be retained and details of what should be done with the records once their Retention periods have elapsed.
3. The Development Management and Building Control Departments records may broadly be divided into 3 categories:
 - a. Master Records
These are definitive copies of documents (or spreadsheets, databases, presentations, images, sound recordings, etc) held by the 'Records Owner' or on the IDOX DMS. The Records Owner is either the originator of the Master Record or the current member of staff who is formally responsible for the Master Record as part of their duties. **All Retention Periods listed in this Schedule relate solely to Master Records.**
 - b. Duplicate Records
These are duplicates of Master Records (for example, hard copy sets of plans or letters, electronic copies of application documents stored on the 'N' drive). Duplicate records should be kept for reference only, and in no case for longer than the Retention Period of the Master Record, and then destroyed or deleted.
 - c. Transitory Records
These are records which have no significant ongoing value after they have served their primary purpose. Some examples of Transitory Records are draft documents and working materials which do not demonstrate significant steps in the development of a final version; documents containing requests for information which have no further value after the information is provided or received; items received only for information from elsewhere in the Council often as part of a distribution list; items received only for information from external organisations. Transitory Records should be destroyed in the normal course of business to keep offices and servers clear of redundant material.
4. Application of this Schedule will give staff confidence that they are managing the Department's records in compliance with legal requirements, council needs and sector best practice. Efficient records management also enables better everyday working environments for staff.
5. The schedule refers to completed or dormant records. Live and ongoing records are kept in accordance with Monmouthshire County Council's practices in the following formats and locations:
 - a. Electronic files – on secure network drives or on IDOX EDRMs on secure server
 - b. Hard copy files* – in filing cabinets within staff only areas of
 - i. County Hall, The Rhadyr, Usk, NP15 1GA

- ii. Abergavenny Community Education Centre, Old Hereford Road, Abergavenny, NP7 6EL
 - iii. Monmouth Library, Rolls Hall, Monmouth, NP25 3BY
 - iv. Chepstow Library, Manor Way, Chepstow, NP16 5HZ
- *items ii, iii and iv refer to Building Control records only.

6. The schedule states recommended Retention Periods based where applicable on relevant legislative requirements or sector best practice.

7. The following guidance notes are designed to assist users of the Schedule.

- a. PI
Does the record contain personal information regulated under the GDPR
- b. Subject
This column describes the type of records involved
- c. Format
This describes the different formats the information could be held or received in. There are 3 options:
 - i. Electronic
 - ii. Paper
 - iii. MicroficheN.B. Anonymisation is not possible for Microfiche records
- d. Retention Period
This column sets out the length of time for which the records should be kept within the Department as a matter of course.
Retention Periods are often described as:
[Starting point]+[Number of additional years to be kept]
- e. Action at end of Retention Period
This column sets out the action to be taken once the Retention Period has elapsed. There are 3 main options:
 - i. Indefinitely
 - ii. Delete / Destroy
The Records Owner should confidentially destroy the records. Paper records containing personal information should be shredded so that they cannot be recreated. Electronic records should be securely deleted.
 - iii. Anonymise then Retained indefinitely
Personal information, including name, address, email, phone number, etc, is deleted and the record kept indefinitely for historic reference purposes.
- f. Where retained
This sets out where any retained records will be stored. The options are:
 - i. IDOX EDRMS
 - ii. Network drive
 - iii. Filing Cabinet
 - iv. Red storage - The Records Owner should ensure that the reference is clearly shown on the outside of the document for easy retrieval later if necessary.
 - v. Hard Copy Formal Register
 - vi. IDOX Uniform

Documentation (digital and hard copy)

	PI	Subject	Format	Retention Period	Action at end of retention period	Where retained
Planning & Listed Building Applications						
1	Y	Application Form and certificate of ownership	Electronic / Paper / Microfiche	Indefinitely	N/A	IDOX EDRMS (electronic) Amber Storage (paper) filing Cabinet (microfiche)
2	Y	Plans and supporting information	Electronic / Paper / Microfiche	Indefinitely	N/A	IDOX EDRMS (electronic) Amber Storage (paper) Filing cabinet (microfiche)
3	Y	Correspondence with agent / applicant – not part of determination	Paper/ electronic	While application being determined	Dispose / Delete	N/A
4	Y	Comments and objections received	Paper / Electronic / Microfiche	Indefinitely	Personal information redacted (electronic)	IDOX EDRMS (electronic) Amber Storage (paper) Filing cabinet (microfiche)
5	N	Consultee Responses received	Paper / Electronic	Indefinitely	N/A	IDOX EDRMS (electronic) Amber Storage (paper) Filing cabinet (microfiche)
6	Y	Correspondence sent out	Electronic / Paper / Microfiche	Indefinitely	N/A	IDOX EDRMS (electronic) Amber Storage (paper) Filing cabinet (microfiche)
7	Y	Officer notes	Paper/ Electronic / Microfiche	While application being determined	Redacted personal information and retain indefinitely	Filing cabinet (microfiche)
8	N	Officer Report	Electronic / Paper / Microfiche	Indefinitely	N/A	IDOX EDRMS (electronic) Amber Storage (paper)

						Filing cabinet (microfiche)
9	Y	Decision	Electronic / Paper / Microfiche	Indefinitely	N/A	IDOX EDRMS (electronic) Amber Storage (paper) Filing cabinet (microfiche)
10	Y	Legal Agreement (digitised copy)	Electronic / Microfiche	Indefinitely	N/A	IDOX EDRMS (electronic) Filing cabinet (microfiche)
11	Y	Legal Agreement (paper copy)	Paper	Indefinitely	Red storage	
Appeals (Planning & Enforcement)						
12	Y	Application form	Electronic / Paper / Microfiche	Indefinitely	N/A	IDOX EDRMS (electronic) Amber Storage (paper) Filing cabinet (microfiche)
13	Y	Letters from Planning Inspectorate	Electronic / Paper / Microfiche	Indefinitely	N/A	IDOX EDRMS (electronic) Amber Storage (paper) Filing cabinet (microfiche)
14	Y	Statement and Supporting Documents from Appellant	Electronic / Paper / Microfiche	Indefinitely	N/A	IDOX EDRMS (electronic) Amber Storage (paper) Filing cabinet (microfiche)
15	Y	Statement and Supporting Documents from Local Authority	Electronic / Paper / Microfiche	Indefinitely	N/A	IDOX EDRMS (electronic) Amber Storage (paper) Filing cabinet (microfiche)
16	N	Details of hearing / Public inquiry	Electronic / Paper / Microfiche	Indefinitely	N/A	IDOX EDRMS (electronic) Amber Storage (paper)

						Filing cabinet (microfiche)
17	Y	Appeal Decision	Electronic / Paper / Microfiche	Indefinitely	N/A	IDOX EDRMS (electronic) Amber Storage (paper) Filing cabinet (microfiche)
Pre-application Enquiries						
18	Y	Application form	Paper / Electronic	Date of response + 12 months	Delete	IDOX EDRMS and network drive
19	Y	Plans and Supporting Information	Paper / Electronic	Date of response	Anonymise then retain indefinitely	IDOX EDRMS and network drive
20	Y	Officer Notes	Paper / Electronic	While application being determined	Anonymise then retain indefinitely	IDOX EDRMS and network drive
21	N	Consultee Responses Received	Paper / Electronic	Date of response + 12 months	Delete	IDOX EDRMS and network drive
22	Y	Correspondence with agent / applicant	Paper/ electronic	While pre-application being determined	Dispose / Delete	N/A
23	N	Response letter	Electronic	While application being determined	Anonymise then retain indefinitely	IDOX EDRMS and network drive
24	N	Photos	Electronic	Indefinitely	N/A	
Enforcement						
25	Y	Initial enquiry / complaint	Paper / electronic / Microfiche	On closure of case	Delete	IDOX EDRMS and network drive Filing cabinet (microfiche)
26	Y	Officer notes	Paper / electronic / Microfiche	Date of closure +10years	Anonymise then retain indefinitely	IDOX EDRMS and network drive Filing cabinet (microfiche)
27	Y	Correspondence received	Paper / electronic / Microfiche	Date of closure +10years	Anonymise then retain indefinitely	IDOX EDRMS and network drive Filing cabinet (microfiche)

28	Y	Correspondence sent	Paper / electronic / Microfiche	Date of closure +10years	Anonymise then retain indefinitely	IDOX EDRMS and network drive Filing cabinet (microfiche)
29	N	Officer Report	Paper / electronic / Microfiche	Committee date +1day (paper) Indefinitely (electronic)	Destroy (paper)	IDOX EDRMS (Electronic) Filing cabinet (microfiche)
30	Y	Formal Notice	Paper / electronic / Microfiche	Indefinitely	N/A	Hard copy Formal Register (paper) IDOX EDRMS (electronic) Filing cabinet (microfiche)
Heritage						
31	Y	Enquiries written (external)	Paper / electronic	Date of response +10years	Anonymise then retain indefinitely	Network drive
32	Y	Enquiries written (internal)	Paper / electronic	Date of response +10years	Anonymise then retain indefinitely	Network drive
33	N	Conservation Area Appraisals	Paper / electronic	Indefinitely	N/A	Network drive
34	Y	Consultations on CAAs	Paper / electronic	On adoption of CAA	Delete	Network drive
35	N	Photos/plans/	Electronic	Indefinitely	N/A	Network drive
Building Control						
36	Y	Application Form	Paper / electronic / Microfiche	Date of Completion of works +15years	Dispose / Delete	N/A
37	Y	Disability Fee exemption information	Paper / electronic / Microfiche	Date of receipt (paper) Date of Completion of works +15years (electronic & microfiche)	Dispose / delete	N/A
38	Y	Plans and supporting information	Paper / electronic / Microfiche	Date of Completion of works +15years	Dispose / Delete	N/A

39	Y	Approval notices	Paper / electronic / Microfiche	Date of Completion of works +15years	Dispose / Delete	N/A
40	Y	Correspondence with agent / applicant / Builder	Paper / electronic / Microfiche	Date of Completion of works +15years	Dispose / Delete	N/A
41	N	Consultee correspondence	Paper / electronic / Microfiche	Date of Completion of works +15years	Dispose / Delete	N/A
42	Y	Inspection an Officer Notes	Paper / electronic / Microfiche	Date of Completion of works +15years	Dispose / Delete	N/A
43	Y	Completion certificates	Paper / electronic / Microfiche	Date of Completion of works +15years	Dispose / Delete	N/A
Dangerous Structures						
44	Y	Correspondence received	Paper / electronic / Microfiche	Date of Completion of works +15years	Dispose / Delete	N/A
45	Y	Correspondence sent	Paper / electronic / Microfiche	Date of Completion of works +15years	Dispose / Delete	N/A
46	Y	Plans and photographs	Paper / electronic / Microfiche	Date of Completion of works +15years	Dispose / Delete	N/A
Building Control Preliminary Enquiries						
47	Y	Correspondence received	Paper / electronic / Microfiche	Date of response +5years	Dispose / Delete	N/A
48	Y	Correspondence sent	Paper / electronic / Microfiche	Date of response +5years	Dispose / Delete	N/A
49	Y	Plans and photographs	Paper / electronic / Microfiche	Date of response +5years	Dispose / Delete	N/A

50	N	Officer Notes	Paper / electronic / Microfiche	Date of response +5years	Dispose / Delete	N/A

Electronic Databases

PI	Subject	Format	Retention Period	Action at end of retention period	Where retained
Development Management Systems					
Y	Planning & Listed Building applications (statutory register information)	Electronic	Indefinitely	N/A	IDOX Uniform
Y	Planning & Listed Building applications (non-statutory register information)	Electronic	Indefinitely	N/A	IDOX Uniform
Y	Pre-application advice	Electronic	Date of closure +1year	Anonymise then retain indefinitely	IDOX Uniform
Y	Enforcement Cases	Electronic	Date of closure +10years	Anonymise then retain indefinitely	IDOX Uniform
Y	Heritage Information	Electronic	Date of closure +10years	Anonymise then retain indefinitely	IDOX Uniform
Building Control Databases					
Y	Building Control applications including Approved Inspector Notices	Electronic	Date of completion +15 years	Anonymise then retain indefinitely	Northgate M3
Y	Preliminary Enquiries	Electronic	Date of response +5years	Anonymise then retain indefinitely	Northgate M3
N	Spreadsheet of Planning pre-application enquiries	Electronic	Indefinitely	n/a	Network drive
N	Competent Persons submissions	Electronic	Indefinitely	n/a	Network drive