

Section 11 – Environmental Protection

Important Notes:

CODES: P = Prime Document, M = Management documentation, SHC = Review samples for Surrey History Centre.

Some LA's use Vital and Management. Prime documents must always be backed up and retained for statutory/ Internal Audit/District Audit reasons. A prime document is one, which if lost would cause considerable embarrassment to the Authority. Duplicates are not prime documents. Management documents should, in general, be kept for a current year plus two.

Ref No	Title of Document [Local Name]	Retention Period	Current Format	Authority	Notes/Access	P/M
11.1	Blockages					
11.1	Clearance reports	CY + 3 years	None specified	Corporate		M
11.2	Private blockage clearance reports	CY + 6 years	None specified	Corporate		M

11.2	Clean Air					
11.2.1	Notice of measurement of grit, dust and fumes by occupiers	Recommend 6 years from date of notice	To be in writing	Statutory	Clean Air Act 1993 Chapter 11 Section 10	M
11.2.1.1	Records of measurement of grit, dust and fumes	Recommend 6 years from date of measurement	To be in writing	Statutory	Clean Air Act 1993 Chapter 11 Section 11	M
11.2.1.2	Information about furnaces and fuel consumed	Recommend 6 years from date of information	To be in writing	Statutory	Clean Air Act 1993 Chapter 11 Section 12	M
11.2.1.3	Notices requiring information about pollution	Recommend 6 years after date of supply of information.	Issued notice to be writing	Statutory	Clean Air Act 1993 Chapter 11 Section 36	M

Ref No	Title of Document [Local Name]	Retention Period	Current Format	Authority	Notes/Access	P/M
		(The notice has a life of 12 months)				
11.2.2	Improvement Plan	Until superseded	None specified	Statutory	Air Quality Standards Regulations 2007. SI 2007 No 64 Regulation 8 (4) Revokes SI 2003 No 2121 SI 2004 No 2888	M SHC
11.2.2.1	Action plan	Until superseded	None specified	Statutory	Air Quality Standards Regulations 2007. SI 2007 No 64 Regulation 11 Revokes SI 2003 No 2121 SI 2004 No 2888	M SHC

11.5	Pest control					
11.5.1	Requests	CY + 2 years	None specified	Corporate		M

Ref No	Title of Document [Local Name]	Retention Period	Current Format	Authority	Notes/Access	P/M
11.6	Proceedings					
11.6.1	Proceedings not commenced within 3 years of the offence	3 years from date of offence No proceedings shall be commenced more than three years after the commission of the offence. Regulation 12 (2)	N/A	Statutory	Genetically Modified Organisms (Traceability and Labeling) (England) Regulations 2004 SI 2004 No 2412 Regulation 12 (2)	M
11.7	Pollution					
11.7.1	Integrated pollution control register	6 years after date of last entry in register	None specified	Corporate		M SHC
11.7.2	Register relating to deposits and incineration at sea	6 years after last entry in register	May be kept in any form	Statutory	Food and Environment Protection Act 1985 Section 14 - Open to public inspection	M
11.7.3	Declaration of compliance	Recommend whilst relevant plus 6 years	To be in writing Electronic formats may be used Regulation 2(2)	Statutory	Waste Electrical and Electronic Equipment Regulations 2006 SI 2006 No 3289 Regulations 12, 29	M

Ref No	Title of Document [Local Name]	Retention Period	Current Format	Authority	Notes/Access	P/M
11.7.3.1	Record Keeping <ul style="list-style-type: none"> • The amount of tonnes of all EEE he has put on the market in the UK in a compliance period by categories. • The amount of tonnes collected or delivered • Number units returned from private households 	4 years from date on which the record is made	May be electronic	Statutory	Waste Electrical and Electronic Equipment Regulations 2006 SI 2006 No 3289 Regulations 13, 30, 34, 53	M
11.7.3.2	Information on new types of EEE	Recommend 10 years after the last item has been dispatched	May be electronic	Statutory	Waste Electrical and Electronic Equipment Regulations 2006 SI 2006 No 3289 Regulation 17	M
11.7.3.3	Notification of new scheme members	Recommend 6 years after they cease to be come members	To be in writing	Statutory	Waste Electrical and Electronic Equipment Regulations 2006 SI 2006 No 3289 Regulation 21	M
11.7.3.4	Preliminary and final notification specifying WEEE for which operator is responsible for.	Recommend 6 years from date of notice	To be in writing	Statutory	Waste Electrical and Electronic Equipment Regulations 2006 SI 2006 No 3289 Regulation 22 (4)	M
11.7.3.5	Reports on collection and disposal totals	Recommend 4 years from date of report	To be in writing	Statutory	Waste Electrical and Electronic Equipment Regulations 2006 SI 2006 No 3289 Regulation 27	M

Ref No	Title of Document [Local Name]	Retention Period	Current Format	Authority	Notes/Access	P/M
11.7.3.6	Reports of EEE put on the market	Recommend 4 years from date of report	To be in writing	Statutory	Waste Electrical and Electronic Equipment Regulations 2006 SI 2006 No 3289 Regulation 28	M
11.7.3.7	Register of producers Open to the public	Superseded information may be discarded after the later information has been entered for 4 years	In any format but must be indexed	Statutory	Waste Electrical and Electronic Equipment Regulations 2006 SI 2006 No 3289 Regulation 60	M SHC
11.7.4	Training records Name of employee Training provided and date Date of issue of certificate(s)	“Must be kept for the required period” Recommend employment plus 6 years	None stated	Statutory	Ozone Depleting Substances (Qualifications) regulations 2006 SI No 2006 No 1510 Regulation 7 Copy of record to be made available to employee if so requested	M
11.7.5	Records in relation to exempt activities	To be kept for a period of at least two years	None stated	Statutory	Waste Management (England and Wales) Regulations 2006 SI 2006 No 937 Regulation 6 Amends the Waste Management Licensing Regulations 1994 SI 1994 No 1066	M

Ref No	Title of Document [Local Name]	Retention Period	Current Format	Authority	Notes/Access	P/M
11.7.6	Exempt waste operations – Record Keeping	To be kept for a period of 2 years	None stated	Statutory	Environment Permitting (England and Wales) Regulations 2007 SI 2007 No 3538 Regulation 12 (3)(b)	M
11.7.7	<ul style="list-style-type: none"> • Portable Batteries – Reg 12 • Treatment, recycling, record keeping and reporting after withdrawal of scheme – Reg 16 • Compliance schemes – Reg 22 • Batteries placed on market – Reg 23 • Waste batteries – Reg 24 • Industrial / Automotive batteries – Reg 39 • Battery treatment operator or exporter – Reg 67 	4 years from the date on which they are made	None stated	Statutory	Waste Batteries and Accumulators Regulations 2009. SI 2009 No 890 See also Directive 2006/66EC	M

Ref No	Title of Document [Local Name]	Retention Period	Current Format	Authority	Notes/Access	P/M
11.8	Public Registers					
11.8.1	Public registers	A regulator is not required to keep in its public register information which is no longer relevant for the purposes of public participation required under these regulations	May be kept in any form	Statutory	Environmental Protection Act 1990 Chapter 43 as amended the Environment Act 1995 Chapter 25 As amended by Environment Permitting (England and Wales) Regulations 2007 SI 2007 No 3538	M SHC

Ref No	Title of Document [Local Name]	Retention Period	Current Format	Authority	Notes/Access	P/M
11.9	Town and Country Planning –also see	20.18				
11.9.1	Environmental Statement Screening opinion or direction Scoping opinion or directions Notification under regulation 10(1),11(2) 12(4) Direction under regulation 4(4) Statement of reasons for above	Place on part 1 of the register and be available for 2 years or until they are entered in Part 2 of the register	To be in writing	Statutory	Town and Country Planning (Environmental Impact Assessment) Regulations 2011 SI 2011 No 1824 Regulations 23, 40 Revokes – as far as they apply to England SI 1999 No 293 SI 2000 No 2867 SI 2006 No 1282 SI2008 No 2093 Amends SI 2006 No 3295 SI 2008 No 1556	M SHC
11.9.2	Application for a regulatory approval in relation to a regulated activity	Recommend whilst relevant plus 16 years	To be in writing	Statutory	Marine Works (Environmental Impact Assessment) Regulations 2007 SI 2007 No 1518 Regulation 12	M

Ref No	Title of Document [Local Name]	Retention Period	Current Format	Authority	Notes/Access	P/M
11.9.2.1	Scoping opinions	Recommend whilst relevant plus 16 years	None specified	Statutory	Marine Works (Environmental Impact Assessment) Regulations 2007 SI 2007 No 1518 Regulation 13	M
11.9.2.2	Notification and publication of decisions	Recommend whilst relevant plus 16 years	To be in writing	Statutory	Marine Works (Environmental Impact Assessment) Regulations 2007 SI 2007 No 1518 Regulation 23	M
11.9.3	Register of individuals and associations seeking to acquire serviced plots of land	Whilst relevant	None specified	Statutory	Self-build and Custom Housebuilding Act 2015. C 17 Self-build and Custom Housebuilding (Register) Regulations 2016 SI 2016 No 105 Regulations 4 and 5	M

Section 19 – Leisure and Culture

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19.9	Woodlands and Countryside					

19.9.1	Grants	CY + 6 years unless EU funded the CY + 10 years	None specified	Audit	Some EU grants may require records to be kept longer than 10 years	M
19.9.2	Registers	Review every 5 years	None specified	Corporate		P SHC
19.9.3	Minutes and other documentation from a local access forum	2 years beginning with the date of the meeting	None specified	Statutory	Local Access Forums (England) Regulations 2007. SI 2007 No 268 Regulation 8	M SHC

Section 20 – Planning and Building Control

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20.5	Development control					

20.5.1	Work files	Recommend a minimum of 6 years from closure of file	None specified	Corporate		M
20.9	Graphical Information System [GIS]					
20.9.1	Boundaries	Keep up to date. Consider regular 'snapshots' for archives	None specified	Corporate		M SHC
20.9.2	Contracts – see Finance					
20.9.3	Correspondence	CY plus 3 years	None specified	Corporate		M
20.9.4	Photographs	Whilst relevant then consult with archives	None specified	Corporate		M SHC
20.9.5	Projects – see Corporate Management					
20.9.6	Specifications	Whilst relevant and if part of contract then completion plus 6 or 12 years according to value of contract. See Finance	None specified	Corporate		M
20.9.7	New roads and street register	Keep up to date	None specified	Statutory	Highways Act	P SHC
20.14	Mapping					

20.14.1	Data	Review annually. Consider 'snapshots for the archives	None specified	Corporate		P SHC
20.15	Parks					
20.15.1	Historic parks and gardens	Review annually and consult the archives before disposal	None specified	Corporate		P SHC
20.16	Paths					
20.16.1	Parish paths	Review annually and consult archives before disposal	None specified	Corporate		P SHC
20.17	Photographs					
20.17.1	Aerial photographs	Review annually and consult the archives before disposal	None specified	Corporate		M SHC
20.18	Planning applications – see also 11.9					

20.18.1	Case files	10 years after expiry of planning permission, closure or last significant action. Consider archiving information on significant schemes	None specified	Statutory	Planning Act as amended by the Planning and Compulsory Purchase Act 2004 Section 51 Planning permission reduced from 5 to 3 years	M SHC
20.18.2	Preliminary information	Recommend 12 years from the date of final decision	To be in writing	Statutory	Town and Country Planning (Major Infrastructure Project Inquiries Procedure) (England) Rules 2005 SI 2005 No 2115 Regulation 5	M
20.18.2.1	Registration form	Recommend 12 years from the date of final decision	To be in writing	Statutory	Town and Country Planning (Major Infrastructure Project Inquiries Procedure) (England) Rules 2005 SI 2005 No 2115 Regulation 6	M
20.18.2.2	Technical adviser's report	Recommend 12 years from the date of final decision	To be in writing	Statutory	Town and Country Planning (Major Infrastructure Project Inquiries Procedure) (England) Rules 2005 SI 2005 No 2115 Regulation 7 (6)	M

20.18.2. 3	Statements of case	Recommend 12 years from the date of final decision	To be in writing	Statutory	Town and Country Planning (Major Infrastructure Project Inquiries Procedure) (England) Rules 2005 SI 2005 No 2115 Regulation 11	M
20.18.2. 4	Notice of inquiry	Recommend 12 years from the date of final decision	To be in writing	Statutory	Town and Country Planning (Major Infrastructure Project Inquiries Procedure) (England) Rules 2005 SI 2005 No 2115 Regulation 14 (6)	M
20.18.2. 5	Proofs of evidence	Recommend 12 years from the date of final decision	To be in writing	Statutory	Town and Country Planning (Major Infrastructure Project Inquiries Procedure) (England) Rules 2005 SI 2005 No 2115 Regulation 17	M
20.18.2. 6	Statement of common ground	Recommend 12 years from the date of final decision	To be in writing	Statutory	Town and Country Planning (Major Infrastructure Project Inquiries Procedure) (England) Rules 2005 SI 2005 No 2115 Regulation 18	M

20.18.2. 7	Notification of decision	Recommend 12 years from the date of final decision. Consider archiving one copy	To be in writing	Statutory	Town and Country Planning (Major Infrastructure Project Inquiries Procedure) (England) Rules 2005 SI 2005 No 2115 Regulation 22	M SHC
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Section 26 Transport and Highways

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26.8	Countryside					
26.8.1	Countryside access improvement schemes	Review at end of scheme. If of significant interest then weed and archive.	None specified	Corporate		P SHC
26.8.2	Consultation and notification lists	Keep up to date	None specified	Corporate		M
26.8.3	Definitive Map and Statement	Keep up to date	None specified	Statutory		P SHC

Ref No	Title of Document [Local Name]	Retention Period	Current Format	Authority	Notes/Access	P/M
26.8.4	Definitive map modification orders [DMMO's]	Weed and archive	None specified	Corporate		P SHC
26.8.5	Countryside Access maintenance	Until superseded	None specified	Corporate		M
26.8.6	Countryside Access maintenance works orders	Paper copies CY + 5years. Electronic copies archived	None specified	Corporate		M
26.8.7	Countryside Access Path files	Archive	None specified	Corporate		P SHC
26.8.8	Parish survey	Archive	None specified	Corporate		P SHC
26.8.9	Public path orders [PPO's]	Weed and archive	None specified	Corporate		P SHC
26.8.10	Register of applications under Section 53 (5) of the Wildlife and Countryside Act	To be updated as soon as reasonably practicable and retained perpetuity	Electronic and paper form. A website version to be publicly available	Statutory	Public Rights of Way (Register of Applications under section 53 (5) of the Wildlife and Countryside Act 1981) (England) Regulations 2005 SI 2005 No 2461	P SHC
26.8.11	Register of applications under Section 31(6) of the Highways Act 1980	To be updated as soon as reasonably practicable and retained perpetuity	Electronic and paper form. A website version to be publicly available	Statutory	Commons and Dedicated Highways Regulations 2013	P SHC

26.9	Street works					
26.9.1	Clash list	CY + 2 years	None specified	Corporate		M
26.9.2	Naming and numbering	Recommend review every 25 years	None specified	Statutory	London Building Acts (Amendment) Act 1939. Sections 5, 6, 8, 9 Consult with Local History Officer or Archivist	M SHC
26.9.3	Photographs	Until end of activity. Photographs of major undertaking to be archived	None specified	Corporate		M
26.9.4	PUSWA footways and highways maintenance	CY + 6 years	None specified	Statutory	Public Utilities Services Works Act	M
26.9.5	Register of utilities	Keep up to date	None specified	Corporate		
26.9.6	Register	Keep up to date	None specified	Statutory	Street Works (Registers, Notices, Directions and Designations) (England) Regulations 2007 SI 2007 No. 1951	M

26.9.7	Register of permits	Access to register 34.—(1) The Permit Authority shall make the register available for inspection, at all reasonable hours and free of charge—	None specified	Statutory	Traffic Management Permit Scheme (England) Regulations 2007 SI 2007 No 3372 Regulation 33	M
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Section 27 – Waste Management

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Ref No	Title of Document [Local Name]	Retention Period	Current Format	Authority	Notes/Access	P/M
27.2	By-laws					
27.2.1	Bye-laws (Water related)	6 years after bye-law ceases	In writing	Statutory	Water Industries Act 1991 Chapter 56 Section 157	M SHC
27.3	Property and waste collection					
27.3.1	Requested collections	Date of collection + 6 months	None specified	Corporate		M

Ref No	Title of Document [Local Name]	Retention Period	Current Format	Authority	Notes/Access	P/M
27.4	Public Register					
27.4.1	Public registers	A regulator is not required to keep in its public register information which is no longer relevant for the purposes of public participation required under these regulations	May be kept in any form	Statutory	Environmental Protection Act 1990 Chapter 43 as amended the Environment Act 1995 Chapter 25 As amended by Environment Permitting (England and Wales) Regulations 2007 SI 2007 No 3538	M SHC
27.5	Service monitoring					
27.5.1	Service monitoring	CY + 6 years	None specified	Corporate	Good business practice	M
27.7	Trade refuse					
27.7.1	Trade refuse	12 months after expiry of agreement	None specified	Corporate		M
27.8	Waste					
27.8.1	Notices, notifications, returns	2 years beginning on the day after the day on which the reconciliation period for the	To be in writing	Statutory	Landfill Allowances and Trading Scheme (England) Regulations 2004 SI 2004 No 3212	M

Ref No	Title of Document [Local Name]	Retention Period	Current Format	Authority	Notes/Access	P/M
		scheme year ends Regulation 11 (4) and 12 (3)			Regulation 3	
27.8.1.2	Registers	To be available for inspection free of charge with copies at a reasonable charge.	May be in an electronic format	Statutory	Landfill Allowances and Trading Scheme (England) Regulations 2004 SI 2004 No 3212 Regulation 4	M
27.8.2	Waste tonnage	CY + 6 years	None specified	Corporate	Good business practice	M

Ref No	Title of Document [Local Name]	Retention Period	Current Format	Authority	Notes/Access	P/M
27.8.3	Waste Prevention programme	Until superseded but must be reviewed at least every 6 th year	To be in writing Regulation 5	Statutory	<p>The Waste (England and Wales) Regulations 2011 SI 2011 No 988 Regulation 4, 10</p> <p>Revokes SI 1991 No 2839 SI 1994 No 1056 SI 1998 No 605 In so far as they apply to England and Wales SI 2003 No 63 SI 2005 No 3026 The Whole regulations</p> <p>NB. The waste management contractor must retain notes for 6 years under landfill tax legislation.</p>	M

Ref No	Title of Document [Local Name]	Retention Period	Current Format	Authority	Notes/Access	P/M
27.8.3.1	Waste Management Plan	Until superseded but must be reviewed at least every 6 th year	To be in writing	Statutory	<p>The Waste (England and Wales) Regulations 2011 SI 2011 No 988 Regulation 7, 10</p> <p>Revokes SI 1991 No 2839 SI 1994 No 1056 SI 1998 No 605 In so far as they apply to England and Wales SI 2003 No 63 SI 2005 No 3026 The Whole regulations</p> <p>NB. The waste management contractor must retain notes for 6 years under landfill tax legislation.</p>	M

Ref No	Title of Document [Local Name]	Retention Period	Current Format	Authority	Notes/Access	P/M
27.8.3.2	<p>Transfer note – Now called “Waste Information”</p> <p>(Does not apply where the waste is hazardous waste under SI 2005 No 895 and SI 2005 No 1820 (W 148))</p>	<p>Two years</p> <p>Regulation 35 (6)</p> <p>Amended by SI 2014 No 656 Regulation 6</p>	<p>May be in electronic form providing it can be produced in a visible and legible documentary form.</p>	Statutory	<p>The Waste (England and Wales) Regulations 2011 SI 2011 No 988 Regulation 35</p> <p>Revokes SI 1991 No 2839 SI 1994 No 1056 SI 1998 No 605 In so far as they apply to England and Wales SI 2003 No 63 SI 2005 No 3026 The Whole regulations</p> <p>As amended by SI 2014 No 656 Regulation 6</p> <p>NB. The waste management contractor must retain notes for 6 years under landfill tax legislation.</p>	M
27.8.4	Exempt waste operations – Record Keeping	To be kept for a period of 2 years	None stated	Statutory	<p>Environment Permitting (England and Wales) Regulations 2007 SI 2007 No 3538 Regulation 12 (3)(b)</p>	M

Ref No	Title of Document [Local Name]	Retention Period	Current Format	Authority	Notes/Access	P/M
27.8.5	Exempt waste operations – Record Keeping	To be kept for a period of 2 years	None stated	Statutory	Environment Permitting (England and Wales) (Amendment) (No 2) Regulations 2009 SI 2009 No 3381 Regulation 12 (4) Revokes and re-implements provisions in the 2007 Regulations	M
27.8.68/	Records	To be retained the operator of a materials facility for a minimum of four years from the date that it is first recorded.	None stated	Statutory	Environment Permitting (England and Wales) Regulations 2014 SI 2014 No 255 Regulation 3 (1), (2)(a)(b) Amends SI 2010 No 675	M