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## Purpose

This document contains guidance on completing the templates to be used when applying to retain legacy public records, and provide updates on progress.

Applications are made to the Advisory Council on National Records and Archives, and on their recommendation a summary will go forward to the Secretary of State for Digital, Culture, Media and Sport for approval.

Applications should be submitted to The National Archives at [scheduleapplications@nationalarchives.gov.uk](mailto:scheduleapplications@nationalarchives.gov.uk) ahead of the relevant Advisory Council meeting.

## General guidance

- Be as concise as possible and use plain English.
- Ensure that the paragraph numbering in the template is retained.
- Where indicated, click on “Choose an item” and select from the drop down menu.
- Completed documents should be no more than two or three pages in length (not including any annexes).
- For information on the grounds for retention (referred to as criteria) and permissible retention periods see The National Archives’ [Retention](#) guidance.

# Application to retain records under Section 3(4) of the Public Records Act 1958

## Section 1

Provide as much detail as possible about the records you are applying to retain, including:

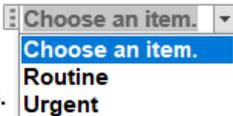
- a separate line for each set of records
- a general description of the records
- TNA series reference(s) if available
- a separate entry for each format for hybrid collections.

The covering dates run from the earliest file start date in the series to the latest file closing date.

## Section 2

### 2. Timing

2.1 Is this request **Routine** (records are not currently due for disposal but there is a risk that they will not be processed in time to meet the relevant deadlines) or **Urgent** (records are already being held without legal cover or a current retention is due to expire imminently)?

3. 

If the records are not yet due for disposal under the Public Records Act select "Routine".

If they are already overdue, or if disposal will not be completed before the end of the year in which they become due, select "Urgent".

## Section 3

3.1 Select the option that most closely reflects the reason the need to apply for retention has arisen. Select "Other" and provide additional detail if your circumstances are not covered by any of the options.

3.1 What has prompted this application?

Choose an item. ▾

- Choose an item.
- Newly discovered collection of non-compliant records *information here:*
- Newly inherited collection of non-compliant records
- Expiry of existing retention
- 3.2 Current records are about to become non-compliant
- Other (please provide additional information below)

3.2 Refer to the list on pp. 7-8 of TNA's guidance on [Retention](#) and select the criterion that applies to your application.

3.2 On what grounds are you applying to retain these records?

Choose an item. ▾

- Choose an item.
- 3.3 1 Records not selected for transfer but required for administrative purposes
- 2 Records selected for transfer but required for administrative purposes
- 4a Records which form part of a backlog awaiting appraisal
- 3.4 4b Records which form part of a backlog awaiting sensitivity review or preparation for transfer
- 6 Records retained in departments on security or other specified grounds
- 8 Records where no decision has been taken about selection or transfer but which the department requires for administrative purposes

Note: criteria 3, 5 and 7 were retired in November 2019.

3.3 Select the retention period you are requesting. If you are requesting a retention period of more than three years, provide a detailed justification setting out why the requested period is needed.

3.3 What retention period are you requesting?

Choose an item. ▾

- Choose an item.
- 3.4 1 year *a retention period of more than three years, please provide a detailed justification requirement here:*
- 2 years
- 3 years
- 4 years
- 5 years
- 6 years
- 7 years
- 8 years
- 9 years
- 10 years

## Section 4

Provide any information that will help Council understand the organisational and operational circumstances under which your team is operating.

## Section 5

If you are applying to retain records under criteria 4a or 4b, provide a summary of your plan for dealing with your records backlog by the end of the retention period. This plan must be agreed with The National Archives.

## Section 6

6.1 The Advisory Council is keen to understand the profile and priority of information management in your organisation, in particular the mechanisms in place for identifying and addressing risks in this area.

6.2 The Advisory Council is keen to see information management risks and issues handled at an appropriately senior level to ensure that mitigating actions and responses are properly resourced and implemented. Select the level within your organisation that has been made aware of this issue and is responsible for managing it

6.2 What is your organisation's senior governance awareness of this issue?

Choose an item. 

Choose an item. provide additional information here:

- Corporate Board
- Management Board
- Executive Team
- Corporate Risk Register
- Other (please add details below) in your organisation responsible for managing this issue:

6.3 Provide details here of the individual who owns this issue within your organisation. This will help to demonstrate that your organisation is engaged at a sufficiently senior level to ensure that the necessary resources are dedicated to addressing the issue.

The author of the paper should enter their name and the date at the end of the paper.

# Guidance for completing Update to the Advisory Council on records retained under Section 3(4) of the Public Records Act 1958

## Section 1

1.1 – provide the date of the Advisory Council meeting at which your original application was considered.

1.2 – copy Table 1 from your original application.

1.3 and 1.4 – select the responses given in your original application.

1.3 On what grounds did you apply to retain these records?

Choose an item. ▼

- 1.4 Choose an item.
  - 1 Records not selected for transfer but required for administrative purposes
  - 2 Records selected for transfer but required for administrative purposes
  - 4a Records which form part of a backlog awaiting appraisal
  - 4b Records which form part of a backlog awaiting sensitivity review or preparation for transfer
- 1.5
  - 6 Records retained in departments on security or other specified grounds
  - 8 Records where no decision has been taken about selection or transfer but which the department requires for administrative purposes

Note: criteria 3, 5 and 7 were retired in November 2019.

1.4 What retention period did you request?

|                 |          |   |
|-----------------|----------|---|
| Choose an item. |          |   |
| 1.5             | 1 year   | ...e of your original application? Please provide details here: |
|                 | 2 years  |   |
|                 | 3 years  |   |
| 2.              | 4 years  |   |
|                 | 5 years  |   |
| 2.1             | 6 years  | ...ree with The National Archives for addressing this?          |
|                 | 7 years  |   |
| Reso            | 8 years  |   |
|                 | 9 years  | work (e.g. internal records                                     |
|                 | 10 years | rd party supplier, a combination)?                              |

1.5 – provide details of the response you received to your initial application.

## Section 2

Provide a copy of the plan included in your original application.

## Section 3

3.1 – Enter an X in the final column of Table 3 to show whether your plan is on track; largely on track; or not on track, based on the definitions provided.

3.2 – Use Table 4 to show which activities are on track and which are not. In the progress column, enter:

- **Green** in green text for activities that have been completed or which do not apply
- **Amber** in amber text to show where activities are underway but not yet complete and not overdue
- **Red** in red text to show that activities are overdue.

3.3 – Provide details of any problems that have arisen in the meantime and affected the progress or completion of any of your planned activities. Also provide details about what you have done to address these and get the plan back on track.

3.4 – If your plan has changed provide details of your revised plan in Table 5.

3.5 – Use this section to provide the Advisory Council with any further details, for example the reasons for revising the plan and who agreed any changes.

The author of the paper should enter their name and the date at the end of the paper.