South Hanningfield Parish Council

Document Retention Policy

2020

Adopted by the Council at their meeting dated 30th July 2020

SOUTH HANNINGFIELD PARISH COUNCIL

Document Retention Policy

Purpose: South Hanningfield Parish Council requires a wide variety of documents for transacting its business and is committed to retaining these documents in a format and for periods of time that enables the Parish Council to meet its obligations in respect of all the documents it holds including those subject to legislation.

The document storage arrangements should:

- Ensure security of documents.
- Protect employees privacy.
- Facilitate access to information.
- Optimise the use of storage space.
- Be cost effective.
- Facilitate the destruction of redundant documents

Scope: This policy applies to users of South Hanningfield Parish Council information records, both paper and electronic. It includes but is not limited to Councillors, the Clerk and employees.

Personal data: In accordance with Data Protection legislation and the General Data Protection Regulations 2018, personal data will not be retained for longer than necessary.

Security of Documents: South Hanningfield Parish Council's records are held in hard copy and/or electronic format. To minimise the risk of accidental loss of valuable records, masters or copies (as deemed appropriate) may be stored off site.

Employee's privacy: The privacy of personnel records will be appropriately assured.

Availability and Access: All records necessary to South Hanningfield Parish Council's business will be retained for a period of time that reasonably assures the availability of records needed and are as detailed on Appendix A.

Storage space and cost: Redundant records may be destroyed in order to reduce the cost of storage, indexing and handling the vast quantity of documents that would otherwise accumulate. Destruction of documents will be undertaken in accordance with the provisions of this policy to avoid any inference that a document was destroyed in anticipation of a problem.

Electronic storage: Records maintained electronically will be subject to the same rules of retention and security as paper records. This includes email correspondence and all such electronic communication.

Disposal of records: All hard copy records containing personal information will be treated as confidential waste and disposed of through shredding. Where the volume of documents is too large for Parish Council facilities, alternative means of commercial record destruction services will be used. All documents classified as non-confidential records will be shredded where practical but may be recycled as paper recycling. Computer hardware including external drives and storage media will be cleaned of data prior to disposal and/or the hardware destroyed.

Implementation of the Policy: The Clerk will be responsible for the implementation and management of the policy.

Monitoring and Review: This policy will be reviewed annually to monitor its effectiveness and to ensure it complies with current legislation.

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APPENDIX A

Document Retention Timescales

The retention period should be the number of years specified plus the outstanding current financial period (i.e. three years plus the current period, therefore at least a minimum of three years documentation will always be retained at any given point in time).

This list of documents below is not exhaustive; if uncertainty exists about any document contact the Parish Clerk for clarification.

Document Retention Periods

Finance

Document	Retention Period
Financial Published Final Accounts	Indefinitely
Signed Audited Accounts	Indefinitely
Final Account working papers	5 years
Records of all accounting transactions held by the Financial Management System	6 Years
Cash Books (records of monies paid out and received)	6 years
Purchase Orders	6 years
Cheque Payment Listings (Invoices received)	6 years
Payment Vouchers Capital and Revenue (copy invoices)	6 years
BACS listings	6 years
Goods received notes, advice notes and delivery notes	3 years
Copy receipts	6 years
Petty cash vouchers and reimbursement claims	6 years
Debtors and rechargeable works records	6 years
Asset Register for statutory accounting purposes	10 years
Journal Sheets	6 years
Ledger / Trial Balance	10 years
Year-end ledger tabulations – ledger details and cost updates	6 years
Financial Plan	Indefinitely
Budget Estimates – Detailed Working Papers and summaries	3 years
Bank Statement (Electronic) and Instructions to banks	6 years
Bank Statements (Hardcopy)	6 years
Banking Records including Giro cheques, bills of exchange and other negotiable instruments	6 years
Prime evidence that money has been banked	6 years
Refer to Drawer (RD) cheques	2 years
Cancelled Expenditure cheques	2 years
Bank Reconciliation	6 years
Cheques presented / drawn on the Council bank accounts	3 years
Prime records that money has been correctly recorded in the Councils financial systems	3 years
Grant/Funding Applications & Claims	5 years
Precept Forms	3 years
Fees and Charges Schedules	5 years

Time sheets and overtime claims	6 years
Payroll and tax information relating to employees	6 years
Records of payment made to employees for salaries / wages (including intermediate payslips)	6 years
Statutory end of year returns to Inland Revenue and Pensions Section	Indefinitely
Loans and Investment Records; temporary loan receipts and loan tabulations	6 years (after redemption of loan)
VAT, Income Tax and National Insurance Records	6 years
Current and expired insurance contracts/policies and claims	6 years (from the date of cessation)
Capital and contracts register	Indefinitely
Final accounts of contracts executed under seal	12 years (from contract completion)

Personnel

Document	**Retention Period**
Unsuccessful application forms	1 year
Unsuccessful reference requests	1 year
Successful applications forms and CVs	Employment Term + 7 years
References received	Employment Term + 7 years
Statutory sick records, pay, calculations, certificates etc.	Employment Term + 7 years
Annual leave records	Employment Term + 7 years
Unpaid leave/special leave	Employment Term + 7 years
Annual appraisal/assessment records	3 years
Time Control Records	3 years
Criminal Records Bureau Checks	1 year
Personnel files and training records	Employment Term + 7 years
Disciplinary or grievance investigations – proved Verbal Written Final warning Dismissal Notice Anything involving children (under 18 years of age)	} } Employment } term + 7 years } Permanently
Disciplinary or grievance investigations - unproven	Destroy immediately after investigation or appeal
Statutory Maternity/Paternity records, calculations, certificates etc	3 years after the tax year in which the maternity period ended
Wages/salary records, overtime, bonuses, expenses etc	Employment term + 7 years

Corporate

Document	Retention Period
Approved Minutes of Council Meetings	Indefinitely
Draft/Rough notes taken at Council/Committee Meetings	Until minutes approved
Minutes and reports of Committee meetings	Indefinitely
Minutes and reports for Special Committee meetings	Indefinitely
Minutes and reports of sub-committees	Indefinitely
Notes and reports of working groups	Indefinitely
Policies and procedures	Until updated
Asset Management records	Indefinitely
Asset Management reports	Indefinitely
Internal audit records	3 years
Internal audit fraud investigation	7 years from date of final outcome
Risk register	Indefinitely
Risk management reports	Indefinitely
Performance reports	Indefinitely
Equalities data	Indefinitely
Questionnaire data	Indefinitely
Details regarding burials	Indefinitely
Vehicle maintenance and registration records (all necessary certificates, MOT certificates, test records and vehicle registration documents etc)	2 years after disposal of vehicle
Allotment application forms	Length of Tenancy + 2 years
Allotment agreements	Length of Tenancy + 2 years
Show health & safety statements	2 Years
Show application including caterers, displays, competition entrants	1 year
Services and equipment quotations – show	1 year
Contacts for show	1 year
Show stalls database incl. handcraft and horticulture entrants' details	1 year
All emails and correspondence	1 year
Hard copy application	1 year
Pre-tender qualification document. Summary list of expression of interest received. Company contacts. A summary of any financial or technical evaluation supplied with the expressions of interest. Initial application.	1 year
Successful tender documentation	Life of contract + 6 years
Unsuccessful tender documentation	Until final payment is made on accepted contract
Deeds of land and property	Indefinitely
Land and property rental agreements	expiry of the agreement + 6 years
Property evaluation lists	Indefinitely
Lease agreements, variation and valuation queries	Expiry of the agreement + 6 years
Documentation referring to externally funded projects	6 years

Health & Safety

Health and Safety Accident books	Last entry + 3 years
Health and Safety Accident books containing records involving chemicals or asbestos, medical records containing details of any employee exposed to asbestos or as specified by the Control of Substances Hazardous to Health Regulations 1999	Last entry + 40 years
Medical examination certificates	4 years
Records relating to accident(s) to person(s) over 18 years	3 years
Records relating to accident(s) to person(s) under 18 years	Until 18th birthday
Asbestos records for premises/property including survey and removal records	40 years
Parks and play area inspection reports	6 years
All inspection certificates (Gas Safe, FENSA etc)	6 years
Repairs job sheets	6 years
Periodic machinery inspection tests (PAT, equipment calibration etc)	6 years
Warranties	10 years
Documents relating to the process of collecting, transporting and disposal of general waste	3 years
Documents relating to the process of collecting, transporting and disposal of hazardous waste	10 years
Plant and equipment testing data/reports	6 years
Risk Assessment Forms	3 years
Unusual Incident Forms/Documents	3 years
Manual Handling Assessment Forms/Documents	3 years

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