

Babraham Parish Council

Record Management Policy

History

		Signed (Chair)	Signed (Clerk)
Adopted	March 2017		
Reviewed	Annually		
Review	March 2018	Not reviewed	
Review	June 2020		

Babraham Parish Council: Record Management

Includes Retention, Destruction and Archive

1. Introduction	1
2. Aims and Objectives	2
3. Scope	2
4. Standards of good practice	2
5. Breach of Policy and Standards	2
6. Roles and Responsibilities	3
7. Retention.....	3
8. Disposal	3
9. Retention of Documents	3
10. Version and Update Information	10

1. Introduction

The guidelines set out in this document supports the Parish Council Data Protection Policy and assists us in compliance with the Freedom of Information Act 2000, the General Data Protection Regulation 2018(GDPR)and other associated legislation.

It is important that the Parish Council has in place arrangements for the retention and disposal of documents necessary for the adequate management of services in undertaking its responsibilities. This policy sets out the minimum requirements for the retention of documents and sets out the requirements for the disposal of documents. However, it is important to note that this is a live document and will be updated on a regular basis.

Babraham Parish Council will ensure that information is not kept for longer than is necessary and will retain the minimum amount of information that it requires to carry out

its functions and the provision of services, whilst adhering to any legal or statutory requirements.

2. Aims and Objectives

It is recognised that up to date, reliable and accurate information is a vital to support the work that the Parish Council does and the services that we provide to our residents. This document will help us to:

- ensure the retention and availability of the minimum amount of relevant information that is necessary for the Council to operate and provide services to the public;
- comply with legal and regulatory requirements, including the Freedom of Information Act 2000, the Environmental Information Regulations 2004 and the GDPR;
- save employees' time and effort when retrieving information by reducing the amount of information that may be held unnecessarily;
- ensure archival records that are of historical value are appropriately retained for the benefit of future generations.

3. Scope

- 3.1. For the purpose of this policy, 'documents' includes electronic, microfilm, microfiche and paper records.
- 3.2. Where storage is by means of paper records, originals rather than photocopies should be retained where possible.

4. Standards of good practice

- 4.1. The Council will make every effort to ensure that it meets the following standards of good practice.
 - Adhere to legal requirements for the retention of information as specified in the Retention Schedule at Annex A.
 - Personal information will be retained in locked filing cabinet(s) held by the Parish Council Chair. Access to these documents will only be by authorised personnel.
 - Disclosure information will be retained in a locked cabinet held by the Parish Council Chair.
 - Appropriately dispose of information that is no longer required.
 - Appropriate measures will be taken to ensure that confidential and sensitive information is securely destroyed.
 - Information about unidentifiable individuals is permitted to be held indefinitely for historical, statistical or research purposes, such as Equalities data.
 - Wherever possible, only one copy of any personal information will be retained and that will be held within a locked cabinet in the Parish Office

5. Breach of Policy and Standards

- 5.1. Any employee who knowingly or recklessly contravenes any instruction contained in, or following from, this Policy may, depending on the circumstances of the case, have disciplinary action, which could include dismissal, taken against them.

5.2. Where there is a breach of the policy, the Council may need to consider whether there is also a breach of the GDPR.

6. Roles and Responsibilities

- 6.1. The Proper Officer has responsibility for implementation of the policy under delegation of the Parish Council
- 6.2. The Proper Officer is responsible for the maintenance and operation of this policy including ad-hoc checks to ensure compliance.

7. Retention

- 7.1. Timeframes for retention of documents have been set using legislative requirements, guidance from the National Association of Local Councils and the Chartered Institute of Personnel and Professional Development (CIPD).
- 7.2. Throughout retention the conditions regarding safe storage and controlled access will remain in place.
- 7.3. Minute books and other items that must be retained indefinitely, when no longer in current use, may be given on loan to the Local Record Office situated at the Shire Hall, Cambridge. This in no way affects the rights of the public to inspect these documents.
- 7.4. The tables under *Retention of Documents*, below, show the minimum requirements for the retention of documents as determined by the Parish Council for the management of specific documentation types. Officers holding documents should exercise judgement as to whether they can be disposed of at the end of those periods detailed in the section *Retention of Documents*.

8. Disposal

- 8.1. Documents/data no longer required the Parish Council for administrative purposes must be finely shredded or disposed of through specialist waste removal contractors and deleted entirely and securely from the Parish Council computer system(s).

9. Retention of Documents

The tables below give guidance on the retention of documents, based on the recommendations from the Audit Commission for audit purposes.

Finance			
Document	Retention Period	Action	Reason for Retention
Financial Published Final Accounts	Indefinite	Preserve	Archive/public inspection
Annual Governance and Accountability Return	Indefinite	Preserve	Archive/public inspection
Precept Forms	Indefinite	Archive	Authority, public inspection
Investment Records	Indefinite	Archive	Audit/Management

Final Account working papers	6 years	Preserve, then dispose	HMRC, public inspection
Records of all accounting transactions held in the financial management system	At least 6 years	Preserve, then dispose	HMRC, public inspection
Cash Books (records of monies paid out and received)	12 years	Preserve, then dispose	HMRC, public inspection
Purchase Orders	6 years	Preserve, then dispose	HMRC, public inspection
Cheque Payment Listings (Invoices received)	6 years	Preserve, then dispose	HMRC, public inspection
Payment Vouchers Capital and Revenue (copy invoices)	12 years	Preserve, then dispose	HMRC, public inspection
Goods received notes, advice notes and delivery notes	3 years	Preserve, then dispose	HMRC, public inspection
Petty cash vouchers and reimbursement claims	None used		
Debtors and rechargeable works records	6 years	Preserve, then dispose	HMRC, public inspection
Expenses and travel allowance claims	6 years	Preserve, then dispose	HMRC, public inspection
Asset Register for statutory accounting purposes	10 years	Preserve, then dispose	Authority, public inspection
Adopted annual budget	6 years	Preserve, then dispose	Authority, public inspection
Financial Plan	6 years	Preserve, then dispose	Authority, public inspection
Budget Estimates – Detailed Working Papers and summaries	3 years	Preserve, then dispose	Authority, public inspection
Bank Statements (electronic) and Instructions to banks	6 years	Preserve, then dispose	Authority, public inspection
Bank Statements (Hardcopy)	6 years	Preserve, then dispose	Authority, public inspection
Prime evidence that money has been banked	6 years	Preserve, then dispose	Authority, public inspection
Refer to Drawer (RD) cheques	3 years	Preserve, then dispose	Authority, public inspection
Cancelled Expenditure cheques	3 years	Preserve, then dispose	Authority, public inspection
Cheques presented/drawn on the Council bank accounts	3 years	Preserve, then dispose	Authority, public inspection

Bank Reconciliation	3 years	Preserve, then dispose	Authority, public inspection
Grant/Funding Applications & Claims	3 years	Preserve, then dispose	Authority, public inspection
Internal Audit Plans/Reports	3 years	Preserve, then dispose	Authority, public inspection
Fees and Charges Schedules	6 years	Preserve, then dispose	Authority, public inspection
Loans Records; temporary loan receipts	10 years (after redemption of loan)	Preserve, then dispose	Authority, public inspection
Current and expired insurance contracts and policies indefinitely Insurance records and claims	10 years (or as long as it is possible for a claim to be made under then)	Preserve, then dispose	Record and claim validation
VAT records, input and output	10 years	Preserve, then dispose	HMRC, public inspection
Final accounts of contracts executed under hand or seal	12 years from completion of contract	Preserve, then dispose	Authority, public inspection

Corporate			
Document	Retention Period	Action	Reason for Retention
Minute Books	Indefinite	Preserve	Archive/public inspection
Draft Minutes	Until confirmation of Minutes	Destroy	Operational
Agendas	Until no administrative need	Destroy	Operational
Reports, documents circulated with Agendas	Until no administrative need	Review: destroy if copies included with signed Minutes	Operational
Asset management records	Indefinite	Preserve	Archive/public inspection
Policies and Statements of Practice	Until updated or reviewed	Destroy	Operational

Corporate			
Document	Retention Period	Action	Reason for Retention
Internal audit records	6 years	Preserve, then dispose	Authority, public inspection
Internal audit fraud investigation	7 years from date of final outcome of investigation	Preserve, then dispose	Authority, public inspection
Risk register	Indefinitely	Preserve	Archive/public inspection
Risk assessments (any)	6 years	Preserve, then dispose	Authority, public inspection
Pre-tender qualification document, summary list of expression of interest received, summary of financial or technical evaluation supplied with the expressions of interest Initial application	1 year	Preserve, then dispose	Governance, public inspection
Successful tender documentation Life of contract	6 years from date of final payment	Preserve, then dispose	Governance, public inspection
Unsuccessful tender documentation	Until final payment of contract let is made	Preserve, then dispose	Governance, public inspection
Title deeds, lease agreements, contracts	Indefinite		Audit/Management
Scales of fees/charges	5 years		Management

Personnel			
Document	Retention Period	Action	Reason for Retention
Unsuccessful application forms	6 months to 1 year	Preserve, then dispose	Applicant records, inspection
Unsuccessful reference requests	1 year	Preserve, then dispose	Operational
Successful application forms and CVs	Duration of employment + 6 years	Preserve, then dispose	Operational, legal
References received	Duration of employment + 6 years	Preserve, then dispose	Operational, legal

Personnel			
Document	Retention Period	Action	Reason for Retention
Statutory sick records, pay, calculations, certificates etc.	Duration of employment + 6 years	Preserve, then dispose	Operational, legal
Annual leave records	Duration of employment + 6 years	Preserve, then dispose	Operational, legal
Unpaid leave/special leave	Duration of employment + 6 years	Preserve, then dispose	Operational, legal
Annual appraisal/assessment records	Current year and previous 2 years	Preserve, then dispose	Operational, legal
Time Control Records	2 years	Preserve, then dispose	Operational, legal
Disclosure and Barring checks	6 months	Preserve, then dispose	Operational, legal
Employee Personnel files, training records, discipline and grievance records and working time records	6 years after employment ceases	Preserve, then dispose	Operational, legal
Disciplinary or grievance investigations - unproven	None	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	Preserve, then dispose	Operational, legal
Time sheets and overtime claims	6 years	Preserve, then dispose	Operational, legal
Statutory end of year returns to Inland Revenue and Pensions records	Indefinitely	Archive	Governance, compliance
Income Tax and National Insurance Records	Not less than 3 years after the end of the financial year to which they relate	Preserve, then dispose	Governance, compliance
Wages/salary records, overtime, bonuses, expenses etc.	6 years	Preserve, then dispose	Operational, legal

Personnel			
Document	Retention Period	Action	Reason for Retention
Accident books, records and reports	3 years from date of last entry (If a child or young adult is involved, then until the person reaches the age of 21	Preserve, then dispose	Operational, legal
Redundancy records	6 years from the date of redundancy	Preserve, then dispose	Operational, legal

Health and Safety			
Document	Retention Period	Action	Reason for Retention
Health and Safety Accident books and records	3 years after the date of the last entry (unless an accident involving chemicals or asbestos is contained within then 40 years). If the accident concerns a child or young adult retain until the person reaches the age of 21.	Preserve, then dispose	Operational, legal
Medical records containing details of employee exposed to asbestos or as specified by the Control of Substances Hazardous to Health Regulations 1999	40 years from the date of the last entry.	Preserve, then dispose	Operational, legal
Medical examination certificates	4 years from date of issue	Preserve, then dispose	Operational, legal
<i>Asbestos records for premises/property including survey and removal records</i>	<i>40 years</i>	<i>Preserve, then dispose</i>	<i>Operational, legal</i>
<i>Parks and play area inspection reports</i>	<i>6 years</i>	<i>Preserve, then dispose</i>	<i>Operational, legal</i>

Health and Safety			
Document	Retention Period	Action	Reason for Retention
All inspection certificates	6 years	Preserve, then dispose	Operational, legal
Repairs job sheets	2 years	Preserve, then dispose	Operational, legal
Periodic machinery inspection tests (PAT, equipment calibration etc.)	2 years	Preserve, then dispose	Operational, legal
Documents relating to the process of collecting, transporting and disposal of general waste	3 years	Preserve, then dispose	Operational, legal
<i>Documents relating to the process of collecting, transporting and disposal of hazardous waste</i>	<i>10 years</i>	<i>Preserve, then dispose</i>	<i>Operational, legal</i>
Plant and equipment testing	2 years	Preserve, then dispose	Operational, legal
Unusual Incident Forms	3 years	Destroy immediately after investigation or appeal	
Manual Handling Assessment Forms	3 years	Preserve, then dispose	Operational, legal

Other records			
Document	Retention Period	Action	Reason for Retention
Hard copy routine correspondence	File management: retain until matter dealt with; maximum period 6 months. Where the Babraham Parish Council believes that it is necessary to keep correspondence for an increased length of time, it will redact personal data from the correspondence.	Preserve, then dispose	Performance, governance
Electronic routine correspondence	File management: retain until matter dealt with; maximum period 6 months. Where the	Preserve, then dispose	Performance, governance

Other records			
Document	Retention Period	Action	Reason for Retention
	Babraham Parish Council believes that it is necessary to keep correspondence for an increased length of time, it will redact personal data from the correspondence.		
Requests under the Freedom of Information Act 2000	File management: retain until matter dealt with; maximum period 6 months. Where the Babraham Parish Council believes that it is necessary to keep correspondence for an increased length of time, it will redact personal data from the correspondence.	Preserve, then dispose	Operational, legal
Planning Applications	Recommendations in connection with relevant planning applications are recorded in the minutes which are retained indefinitely. Correspondence (both hard copy and electronic) received in connection with planning applications will be retained in accordance with the routine documents/correspondence policy noted above.	Preserve, then dispose	Operational, legal

10. Version and Update Information

Previous version adopted by Babraham Parish Council, March 2017.

This version developed June 2020