Dunnington Parish Council

# DUNNINGTON PARISH RECORDS MANAGMENT POLICY

## DATE OF ADOPTION – 11 October 2021

## DATE OF REVIEW - APRIL 2022 (Annually Thereafter)

### 1 Introduction

1.1. The guidelines set out in this document supports the Dunnington 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.

1.2. It is important that the Dunnington 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.

1.3. Dunnington 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. The Parish Clerk will dispose of any paperwork held at their home that is no longer required. This would be shredded and removed by a specialist waste contractor. Anything which requires to be kept for longer than 6 years will be transferred to the Reading Rooms.

### 2. Aims and Objectives

2.1. It is recognised that up to date, reliable and accurate information is a vital to support the work that Dunnington 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. Dunnington Parish 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 a locked filing cabinet or locked cupboard in a secure environment at the Parish Clerk's home. Anything which requires to be kept for longer than 6 years will be transferred to secure storage in the Reading Rooms**.** Access to these documents will only be by authorised personnel.
- Disclosure information will be retained in a locked filing cabinet or cupboard in a secure environment at the Parish Clerk's home. Anything which requires to be kept for longer than 6 years will be transferred to secure storage in the Reading Rooms
- 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 eg. Equalities data.
- Wherever possible only one copy of any personal information will be retained and that will be held within a locked filing cabinet or locked cupboard held by the Clerk. Documents could be transferred secure storage in the Reading Room after a period of 6 years if we need to keep them for a longer period.

**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 Dunnington Parish Council Clerk has responsibility for implementation of the policy under the delegation of Dunnington Parish Council

6.2. The Dunnington Parish Council Clerk is responsible for the maintenance and operation of this policy including annual 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. The attached ‘Appendix’ shows the minimum requirements for the retention of documents as determined by Dunnington 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 attached ‘Appendix’

## 8. Disposal

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

**APPENDIX A**

**Document Retention Timescales**

| Document | Retention Period |
|---|---|
| **Finance** | |
| Financial Published Final Accounts | Indefinitely |
| Annual Governance and Accountability Return | Indefinitely |
| Final Account working papers | 6 years |
| Records of all accounting transactions held in the financial management system | At least 6 years |
| Cash Books (records of monies paid out and received) | 12 years |
| Purchase Orders | 6 years |
| Cheque Payment Listings (Invoices received) | 6 years |
| Payment Vouchers Capital and Revenue (copy invoices) | 12 years |
| Goods received notes, advice notes and delivery notes | 3 years |
| Petty cash vouchers and reimbursement claims | 6 years |
| Debtors and rechargeable works records | 6 years |
| Expenses and travel allowance claims | 6 years |
| Asset Register for statutory accounting purposes | 10 years |
| Adopted annual budget | 6 years |
| Financial Plan | 6 years |
| Budget Estimates – Detailed Working Papers and summaries | 3 years |
| Bank Statements (electronic) and Instructions to banks | 6 years |
| Bank Statements (Hardcopy) | 6 years |
| Prime evidence that money has been banked | 6 years |
| Refer to Drawer (RD) cheques | 3 years |
| Cancelled Expenditure cheques | 3 years |
| Bank Reconciliation | 3 years |
| Cheques presented/drawn on the Council bank accounts | 3 years |
| Grant/Funding Applications & Claims | 3 years |
| Precept Forms | Indefinitely |
| Internal Audit Plans/Reports | 3 years |
| Fees and Charges Schedules | 6 years |
| Loans and Investment Records; temporary loan receipts | 10 years (after redemption of loan) |
| 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) |
| VAT records, input and output | 10 years |
| Final accounts of contracts executed under hand or seal | 12 years from completion of contract |

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| Redundancy records | 6 years from the date of redundancy |
| **Personnel/employment** | |
| Unsuccessful application forms | 6 months to 1 year |
| Unsuccessful reference requests | 1 year |
| Successful application forms and CVs | For duration of employment + 6 years |
| References received | For duration of employment + 6 years |
| Statutory sick records, pay, calculations, certificates etc. | For duration of employment + 6 years |
| Annual leave records | For duration of employment + 6 years |
| Unpaid leave/special leave | For duration of employment + 6 years |
| Annual appraisal/assessment records | Current year and previous 2 years |
| Time Control Records | 2 years |
| Disclosure and Barring checks | 6 months |
| Employee Personnel files, training records, discipline and grievance records and working time records | 6 years after employment ceases |
| 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 |
| Time sheets and overtime claims | 6 years |
| Statutory end of year returns to Inland Revenue and Pensions records | Indefinitely |
| Income Tax and National Insurance Records | Not less than 3 years after the end of the financial year to which they relate |
| Wages/salary records, overtime, bonuses, expenses etc | 6 years |
| 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 |
| Redundancy records | 6 years from the date of redundancy |

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| **Corporate** | |
| Councillors Registers of Interests | When councillor is no longer a public office holder |
| Councillors Declaration of Acceptance of Office forms | When councillor is no longer a public office holder |
| Chairman's Declaration of Acceptance of Office | When the term of office comes to an end |
| All *[Town/Parish Council/Meeting]* minutes including minutes of committees, sub-committee meetings and any working group minutes | Indefinitely and archived after two years |

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| Policies and procedures | Until updated or reviewed |
| Asset management records | Indefinitely |
| Internal audit fraud investigation | 7 years from date of final outcome of investigation |
| Risk register | Indefinitely |
| Risk assessments (any) | 6 years |
| Burial records and associated documentation | Indefinitely |
| Drivers log books and mileage | 6 years |
| Vehicle maintenance and registration records (all necessary certificates, MOT certificates, test records and vehicle registration documents etc) | 2 years after vehicle disposed of |
| Allotment application forms | Length of Tenancy + 2 years |
| Allotment agreements | Length of Tenancy + 6 years |
| Pre-tender qualification document, summary list of expression of interest received, 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 from date of final payment |
| Unsuccessful tender documentation | Until final payment of contract let is made |
| Deeds of land and property | Indefinitely |
| Land and property rental agreements | 6 years after expiry of the agreement |
| Property evaluation lists | Indefinitely |
| Lease agreements, variation and valuation queries | 12 years after the expiry of the agreement |
| Documentation referring to externally funded projects | 6 years |
| Booking diaries | 3 years |
| Premises License applications | Indefinitely |

| **Health & Safety** | |
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| 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. |
| 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 |
| Medical examination certificates | 4 years from date of issue |
| Asbestos records for premises/property including survey and removal records | 40 years |
| Parks and play area inspection reports | 6 years |
| All inspection certificates | 6 years |
| Repairs job sheets | 2 years |
| Periodic machinery inspection tests (PAT, equipment calibration etc) | 2 years |

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| 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 | 2 years |
| Unusual Incident Forms | 3 years |
| Manual Handling Assessment Forms | 3 years |

| **Other** | |
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| Hard copy routine correspondence | **Suggested:** File management – retain until matter dealt with; maximum period 6 months. Where the *[Town/Parish Council/Meeting]* believes that it is necessary to keep correspondence for an increased length of time, it will redact personal data from the correspondence. |
| Electronic routine correspondence | **Suggested:** File management – retain until matter dealt with; maximum period 6 months. Where the *[Town/Parish Council/Meeting]* 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 | **Suggested:** File management – retain until matter dealt with plus 6 months. Where the *[Town/Parish Council/Meeting]* believes that it is necessary to keep correspondence for an increased length of time, it will redact personal data from the correspondence. |
| Planning Applications | **Suggested:** 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.<br>Where an application is refused by the local planning authority, the application will be retained until the period within which an appeal can be made has expired. |

**The Model Records Management Policy template produced by the Yorkshire Local Councils Association in January 2020 for the purpose of its member councils and county associations and was used by Dunnington Parish Council.**