

Bramhope & Carlton Parish Council

Records Management Policy

Adopted Date: ...22nd August 2018.....

Review Date:September 2019.....

1 Introduction

1.1 The Council accumulates a vast amount of information and data during the course of its everyday activities. This includes data generated internally in addition to information obtained from individuals and external organisations. This information is recorded in various different types of document.

1.2 Records created and maintained by the Council are an important asset and as such measures need to be undertaken to safeguard this information. Properly managed records provide authentic and reliable evidence of the Council's transactions and are necessary to ensure it can demonstrate accountability.

1.3 Documents may be retained in either 'hard' paper form or in electronic forms. For the purpose of this policy, 'document' and 'record' refers to both hard copy and electronic records.

1.4 It is imperative that documents are retained for an adequate period of time. If documents are destroyed prematurely the Council and individual officers concerned could face prosecution for not complying with legislation and it could cause operational difficulties, reputational damage and difficulty in defending any claim brought against the Council.

1.5 In contrast to the above the Council should not retain documents longer than is necessary. Timely disposal should be undertaken to ensure compliance with the General Data Protection Regulations so that personal information is not retained longer than necessary. This will also ensure the most efficient use of limited storage space.

1.6 Where the term Council is used this refers to officers of the Council.

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 the Bramhope & Carlton 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 and paper records.

3.2. Where storage is by means of paper records, originals rather than photocopies should be retained where possible.

4. Document Retention Protocol

4.1 Councils should have in place an adequate system for documenting the activities of their service. This system should take into account the legislative and regulatory environments to which they work.

- 4.2 Records of each activity should be complete and accurate enough to allow employees and their successors to undertake appropriate actions in the context of their responsibilities to:
- Facilitate an audit or examination of the business by anyone so authorised.
 - Protect the legal and other rights of the Council, its clients and any other persons affected by its actions.
 - Verify individual consent to record, manage and record disposal of their personal data.
 - Provide authenticity of the records so that the evidence derived from them is shown to be credible and authoritative.

4.3 To facilitate this the following principles should be adopted:

- Records created and maintained should be arranged in a record-keeping system that will enable quick and easy retrieval of information under the General Data Protection Regulations
- Documents that are no longer required for operational purposes but need retaining should be placed at the records office.

4.4 The retention schedules in Appendix A: List of Documents for Retention or Disposal provide guidance on the recommended minimum retention periods for specific classes of documents and records. These schedules have been compiled from recommended best practice from the Public Records Office, the Records Management Society of Great Britain and in accordance with relevant legislation.

4.5 Whenever there is a possibility of litigation, the records and information that are likely to be affected should not be amended or disposed of until the threat of litigation has been removed.

4.6 Throughout retention the conditions regarding safe storage and controlled access will remain in place

5. Document Disposal Protocol

5.1 Documents should only be disposed of if reviewed in accordance with the following:

- Is retention required to fulfil statutory or other regulatory requirements?
- Is retention required to meet the operational needs of the service?
- Is retention required to evidence events in the case of dispute?
- Is retention required because the document or record is of historic interest or intrinsic value?

5.2 When documents are scheduled for disposal the method of disposal should be appropriate to the nature and sensitivity of the documents concerned. A record of the disposal will be kept to comply with the General Data Protection Regulations.

5.3 Documents can be disposed of by any of the following methods:

- Non-confidential records: place in waste paper bin for disposal.
- Confidential records or records giving personal information: shred documents.
- Deletion of computer records.
- Transmission of records to an external body such as the County Records Office.

5.4 The following principles should be followed when disposing of records:

- All records containing personal or confidential information should be destroyed at the end of the retention period. Failure to do so could lead to the Council being prosecuted under the General Data Protection Regulations.

- the Freedom of Information Act or cause reputational damage.
- Where computer records are deleted steps should be taken to ensure that data is 'virtually impossible to retrieve' as advised by the Information Commissioner.
- Where documents are of historical interest it may be appropriate that they are transmitted to the County Records office.
- Back-up copies of documents should also be destroyed (including electronic or photographed documents unless specific provisions exist for their disposal).

5.5 Records should be maintained of appropriate disposals. These records should contain the following information:

- The name of the document destroyed.
- The date the document was destroyed.
- The method of disposal.

6. Breach of Policy and Standards

6.1. 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.

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

7. Roles and Responsibilities

7.1. The Bramhope & Carlton Parish Council Clerk has responsibility for implementation of the policy under delegation of the Bramhope & Carlton Parish Council.

7.2. The Bramhope & Carlton Parish Council Clerk is responsible for the maintenance and operation of this policy including ad-hoc checks to ensure compliance.

8. Review of Document Retention

8.1 It is planned to review, update and where appropriate amend this document on a regular basis (at least every three years in accordance with the Code of Practice on the Management of Records issued by the Lord Chancellor).

8.2 This document is based on the SLCC and YLCA model document retention/disposal policies.

9. List of documents

9.1 The full list of the Council's documents and the procedures for retention or disposal can be in Appendix A. This is updated regularly in accordance with any changes to the legal requirements.

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
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

Corporate	
All Bramhope & Carlton Parish Council minutes including minutes of committees, sub-committee meetings and any working group minutes	Indefinitely and archived after two years
Policies and procedures	Until updated or reviewed
Asset management records	Indefinitely
Internal audit records	6 years
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

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
Premises License applications	Indefinitely

Health & Safety	
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
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	
Hard copy routine correspondence	File management – retain until matter dealt with plus 6 months or for as long as need for reference and accountability purposes.
Electronic routine correspondence	File management – retain until matter dealt plus 12 months or for as long as need for reference and accountability purposes.
Requests under the Freedom of Information Act 2000	File management – retain until matter dealt with plus 12 months.
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.