

Harthill with Woodall Parish Council

Records Management Policy

In preparing this document, the Council have considered the recommendations by YLCA and SLCC, and selected the most appropriate retention period.

Note: Not all historical documents have been kept according to the retention period indicated in this policy. All documents from the date of this policy will now be kept in accordance with the specified retention period.

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1 Introduction

1.1. The guidelines set out in this document supports Harthill with Woodall 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 Harthill with Woodall 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. Harthill with Woodall 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

2.1. It is recognised that up to date, reliable and accurate information is vital to support the work that Harthill with Woodall 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. Standards of good practice

4.1. Harthill with Woodall Parish Council makes every effort to ensure that it meets the following standards of good practice:

- Adhere to legal and recommended requirements for the retention of information as specified in the Retention Schedule at Annex A.
- Personal information will be retained in locked filing cabinets within the Village Hall Store Room, access to these documents will only be by authorised personnel.
- Disclosure information will be retained in a locked cabinet in the Village Hall Store Room.
- Appropriately dispose of information that is no longer required.

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- 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 the locked Village Hall Storeroom, fireproof filing cabinet.

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. Harthill with Woodall Parish Council's Clerk has responsibility for implementation of the policy under delegation from Harthill with Woodall Parish Council.

6.2. Harthill with Woodall Parish Council Clerk 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, the Chartered Institute of Personnel and Professional Development (CIPD) and the Society of Local Council Clerks.

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 Harthill with Woodall 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 Harthill with Woodall Parish Council for administrative purposes must be finely shredded and deleted entirely and securely from Harthill with Woodall Parish Council computer system(s). Paper documents that are readily available on the website will be placed in general waste.

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APPENDIX A

Document Retention Timescales

Document	Retention Period
FINANCE	FINANCE
Financial Published Final Accounts, and Annual Governance and Accountability Return	Indefinitely
Final Account working papers	12 years
Records of all accounting transactions held in the financial management system	At least 6 years
Cash Books (electronic records of monies paid out and received)	12 years
Purchase Orders (if held)	6 years
Cheque Payment Listings (Invoices received) (if held) This information is listed on paying-in slips	6 years
Payment Vouchers Capital and Revenue (copy invoices)	12 years
Goods received notes, advice notes and delivery notes	Until satisfied in good order
Petty cash vouchers and reimbursement claims (if held)	6 years
Debtors and rechargeable works records	Not Held
Expenses and travel allowance claims	6 years
Asset Register for statutory accounting purposes	At least 10 years
Adopted annual budget	6 years
Financial Plan (if held)	6 years
Budget Estimates – Detailed Working Papers and summaries	Not Held
Bank Statements (electronic) and Instructions to banks (Destroyed once hard copies arrive)	12 years or until hard copy held
Bank Statements (Hardcopy)	12 years
Prime evidence that money has been banked (stamped paying in book)	6 years
Refer to Drawer (RD) cheques	3 years
Cancelled Expenditure cheques	6 years
Bank Reconciliation	With final Account working papers
Cheques presented/drawn on the Council bank accounts.	Cheques are no longer used
Grant/Funding Successful Applications (held with accounts)	12 years
Grant/Funding Claims (held with accounts)	12 years
Precept Letter	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)
INSURANCE	INSURANCE
Insurance Company Names and Policy Numbers	Indefinitely
Claims correspondence	3 years after settlement
Employers Liability Insurance Certificate	40 years
VAT records, input and output	12 years
Final accounts of contracts executed under hand or seal	12 years from completion of contract

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PERSONNEL/EMPLOYMENT	PERSONNEL/EMPLOYMENT
Unsuccessful application forms	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
Disclosure and Barring checks	N/A
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 (<i>kept with working papers</i>)	12 years
Wages/salary records, overtime, bonuses, expenses etc (<i>kept with working papers</i>)	12 years
Accident books, records and reports	20 Years
Redundancy records	6 years from the date of redundancy
Supporting documentation for tax returns (<i>kept with working papers</i>)	12 years

CORPORATE	CORPORATE
Councillors Registers of Interests	When councillor is no longer a public office holder, or when replaced with a new document.
Councillors Declaration of Acceptance of Office forms	When councillor is no longer a public office holder, or when replaced with a new document.
Chairman's Declaration of Acceptance of Office	When councillor is no longer a public office holder, or when replaced with a new document.

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GOVERNANCE	GOVERNANCE
All Harthill with Woodall Parish Council minutes including minutes of committees, sub-committee meetings and any working group minutes	Permanently (in perpetuity) and archived if space is required.
Policies and procedures	Until updated or reviewed
Internal audit fraud investigation	Not Held (7 years from date of final outcome of investigation if required)
Risk assessments (any)	6 years
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
Deeds of land and property	Permanently or until property is disposed of
Land and property rental agreements	6 years after expiry of the agreement
Lease agreements, variation and valuation queries	15 years after the expiry of the agreement
Premises License applications	Indefinitely

HEALTH & SAFETY	HEALTH & SAFETY
Health and Safety Accident books and records (Note: Records are held with Laughton Village Hall CIO)	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	21 years
All inspection certificates	6 years
Periodic machinery inspection tests (PAT, equipment calibration etc) (Note: Records are held with Laughton Village Hall CIO)	2 years

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Documents relating to the process of collecting, transporting and disposal of general waste (<i>kept with working papers</i>)	12 years
Documents relating to the process of collecting, transporting and disposal of hazardous waste	10 years
CCTV	CCTV
Review CCTV footage requests	Recordings override every 4-6 weeks.
Formal requests to review CCTV footage	With insurance documents.

OTHER	OTHER
Hard copy routine correspondence	File management – retain until matter dealt with; maximum period 6 months. Where Harthill with Woodall Parish Council 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	File management – retain until matter dealt with; maximum period 6 months. Where Harthill with Woodall 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 plus 6 months. Where Harthill with Woodall Parish Council believes that it is necessary to keep correspondence for an increased length of time, it will redact personal data from the correspondence.
Planning Applications (<i>located on Rotherham MBC website</i>)	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. 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.

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AGREEMENTS & RELATED CORRESPONDENCE	AGREEMENTS & RELATED CORRESPONDENCE
<p>Contracts with customers and suppliers</p> <p>Licensing agreements, Rental/Hire Purchase agreements</p> <p>Indemnities and guarantees</p> <p>Other agreements and contracts</p>	<p>Six years after expiry or termination of contract</p> <p>Six years is generally the time limit within which proceedings founded on a contract may be brought</p> <p>If the contract is executed as a deed the limitation period is twelve years</p> <p>Actions for latent damage may be brought up to fifteen years after the damage occurs</p>
DONATIONS AND SUBSCRIPTION RECORDS	DONATIONS AND SUBSCRIPTION RECORDS
<p>Donations granted and related correspondence (<i>kept with working papers</i>)</p>	<p>Twelve years</p>
<p>Deed of covenant</p>	<p>Six years after last payment made but up to 12 years if any payments are still outstanding or there is any dispute regarding the Deed</p>
<p>Subscription records</p>	<p>3 years after cessation of membership</p>

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