**RAWRETH PARISH COUNCIL**

**GDPR DOCUMENT RETENTION POLICY**

1. **INTRODUCTION**
	1. The guidelines set out in this document support and assist the Council in compliance with the Freedom of Information Act 2000, the General Data Protection Regulation and the Data Protection Act 2018.
	2. It is important that the Council has in place arrangements for the retention and disposal of documents necessary for the adequate management of services in undertaking responsibilities. This policy sets out the minimum requirements for the retention and disposal of document s. However, it is important to note that this is a live document and will be updated on a regular basis.
	3. The Council will ensure that the 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 provision of services, whilst adhering to any legal or statutory requirements.
2. **AIMS AND OBJECTIVES**
	1. It is recognised that up to date, reliable and accurate information is vital to support the work that the Council does and the services that it provides to its residents. This document will help the Council 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 current legislation, the Data Protection Act 2018, The Freedom of Information Act 2000, The Environmental Information Regulations 2004 S17.
* Save employees’ time and effort when retrieving information by reducing the amount of information that may be held unnecessarily. This will assist them as they carry out their daily duties, or if searching for information requested.
* Ensure archival records that are of historical value are appropriately retained for the benefit of future generations.
1. **SCOPE**
	1. For the purpose of this strategy, ‘documents’ includes electronic, microfilm, microfiche and paper records.
	2. Where storage is by means of paper records, originals rather than photocopies should be retained where possible.
2. **STANDARDS**

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. This document provides a framework for good practice requirements for retaining information.
* Personal information will be retained in locked filing cabinets, access to these documents will be only by authorised personnel.
* Disclosure information will be retained in a locked cabinet.
* 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 held indefinitely for historical, statistical or research purposes e.g equalities data.

Wherever possible only one copy of any personal information will be retained and that will be held within the Parish Office.

1. **BREACH OF POLICY AND STANDARDS**

Any employee who knowingly or recklessly contravenes any instructions contained in this policy and standards may, depending on the circumstances of the case, have disciplinary action which could include dismissal taken against them.

1. **ROLES AND RESPONSIBILITIES**
	1. The Clerk has overall responsibility for the policy.
	2. The Clerk is responsible for maintenance and operation of this policy including ad hoc checks to ensure compliance.
	3. The Clerk is responsible for ensuring that the guidance set out in this policy are adhered to and to ensure that any documents disposed of are done so in accordance with their ‘sensitivity’ (ie, whether they are normal waste or ‘confidential waste’).
2. **CONFIDENTIAL WASTE**
	1. Any information that is classified as confidential should be treated as confidential waste for disposal.
	2. Examples of what constitutes confidential waste:
* Documents issued for Council meetings marked confidential
* Files containing the personal details of an individual and files that predominantly relate to a particular individual or their circumstances. For example, completed application forms and letters.

Materials given to the Council on a ‘confidential’ or on a limited use benefit basis e.g. material provided by contractors or police.

* 1. Examples of what does not constitute confidential waste:
* Documents that are available to the public via the Council’s web site or by submitting an appropriate search request to the Council for general information.
1. **DISPOSAL OF DOCUMENTATION**

Confidential waste which clearly shows any personal information or information which can be identified using the parameters set out iin 7.2 will be shredded by a registered secured shredding company and a certificate of destruction will be obtained.

1. **RETENTION**
	1. Timeframes for retention of documents have been set out using the legislative requirement sand the Chartered Institute of Personnel and Professional Development (CIPD) guidelines.
	2. Throughout retention the conditions regarding safe storage and controlled access will remain in place.
	3. Disclosure information appertaining to disclosure and barring checks must be held by the individual and copy kept in a locked cabinet. Only those entitled to see it in the course of their duties should have access.
	4. Disclosure information must not be retained for a period of no more than six months and must be destroyed in a secure manner as detailed in point 8.
	5. The attached Appendix A shows the minimum requirements for the retention of documents as determined by those officers responsible for the management of these particular 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 A’
2. **STORAGE AND ACCESS**

Disclosure information is kept separately from personnel files in a secure cabinet with access strictly controlled and limited to the Clerk and Responsible Financial Officer.

1. **HANDLING**
	1. Disclosure information is passed only to those who are authorised to receive it in the course of their duties, The Police Act 1997 S124. The council maintains a record of all those to whom disclosures or disclosure information has been revealed and recognises that it is a criminal offence to pass this information to anyone who is not entitled to receive it.
	2. Personal information will only be available to those who are authorised.
2. **USAGE**
	1. Disclosure information is used only for the specific purpose for which it was requested and for which the applicants’/employees’ consent has been given.

APPENDIX A

**RECOMMENED DOCUMENT RETENTION TIMESCALES**

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

This list is not exhaustive; if you are unsure of about any documentation, contact the Clerk for clarification.

**DOCUMENT RETENTION PERIOD**

**FINANCE**

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| --- | --- |
| **Document**  | **Retention Period**  |
| Financial Published Final Accounts | Indefinitely |
| Signed Audited Accounts | Indefinitely |
| Records of all accounting transactions held by the Financial Management System | At least 5 years |
| Cash Books (records of monies paid out and received) | 6 Years |
| Purchase Orders | 6 Years |
| Cheque Payment Listings (Invoices received) | 6 Years |
| BACS listings  | 6 Years |
| Goods received notes, advice note and delivery notes | 3 Years |
| Copy receipts | 6 Years |
| Petty Cash vouchers and reimbursement claims | 6 Years |
| Expenses and Travel Allowance claims | 6 Years |
| Asset Register for statutory accounting purposes  | 10 Years |
| Journal Sheets | 5 Years |
| Ledger/Trial Balance | 10 Years |
| Financial Plan | Indefinitely |
| Budget Estimates – Detailed working papers and summaries | 3 Years |
| Bank Statements and instructions to banks | 6 Years |
| Bank Statements (Hard Copies) | 6 Years |
| Banking Records  | 6 Years |
| Bank Reconciliation  | 3 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 and Claims | 5 Years |
| Precept Forms | Indefinitely  |
| Internal Audit Plans/Reports | 3 Years |
| Fees and Charges Schedules | 5 Years |
| Time Sheets and Overtime claims | 6 Years |
| Payroll and tax information relating to employees  | 6 Years |
| Payroll costings analysis  | 2 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 | 6 Years (after redemption of loan) |
| VAT, Income Tax and National Insurance Records | 6 Years |
| Current and expired insurance contracts  | 6 Years (indefinitely insurance records and claims) |
| Insurance Certificates  | 40 Years |
| Public Liability Insurance Policies  | 21 Years |
| Capital and Contracts Register | Indefinitely  |
| Final accounts of contracts executed under hand | 6 Years from completion of contract |
| All other reconciliations  | 3 Years  |

**PERSONNEL**

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| Unsuccessful application forms | 6 Months |
| Successful applications forms and CVs | For duration of employment + 5 Years |
| Unsuccessful reference requests | 1 Year |
| References received | For duration of employment + 5 Years |
| Statutory sick records, pay, calculations, certificates etc | For duration on employment + 5 Years |
| Annual Leave Records | For duration of employment + 5 Years |
| Unpaid leave/Special Leave | For duration of employment + 5 Years |
| Annual appraisal/assessment records | Current Year and previous 2 Years  |
| Time Control records | 2 Years |
| Criminal Records Bureau checks | 6 months  |
| Personnel files and training records | 5 Years after employment ceases  |
| Disciplinary or grievance investigations proved-Verbal-Written-Final Warning-Anything involving children  | 6 Months 1 Year18 Months 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 | 6 Years  |

**CORPORATE**

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| Minutes and reports of Full Council  | Indefinitely  |
| Draft Minutes  | Until Minutes are agreed |
| Rough notes, recordings made by Officers and handwritten notes from Full Council,  | Until Minutes are agreed or as specified for recordings and notes  |
| Notes and reports of working groups | Indefinitely  |
| Policies and procedures  | Until updated or reviewed |
| Asset Management records and reports | Indefinitely  |
| Internal Audit records | 3 Years |
| Internal Audit fraud investigation  | 7 Years from date of final outcome of investigation  |
| Risk Register | Indefinitely |
| Risk Management Reports | Indefinitely  |
| Performance Reports | Indefinitely |
| Equalities Data | Indefinitely |
| Questionnaire Data | Indefinitely |
| Paper 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 expressions of interest initial application | 1 Year  |
| Successful tender documentation Life of Contract | 6 Years + Life of Contract  |
| Unsuccessful tender documentation | Until final payment is made |
| Deeds of Land and Property | Indefinitely |
| Lease Agreements variation and valuation queries  | 6 Years after the expiry of the agreement  |
| Documentation referring to externally funded projects | 6 Years |

**HEALTH AND SAFETY**

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| Health and Safety Accident books  | 3 Years after the date of the last entry (unless an accident involving chemicals or asbestos is contained within |
| 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 |
| Records relating to accidents to a person over 18 Years of age | 3 Years from the date of accident  |
| Records relating to accidents to a person under 18 Years of age | Until 21st Birthday  |
| Asbestos records for premises/property including survey and removal records | 40 Years |
| Repairs job sheets | 2 Years |
| Warranties | 10 Years |
| Risk Assessment Forms | 2 Years |
| Unusual Incident Forms | 3 Years |
| Manual Handling Assessment Forms | 3 Years  |

**ADDITIONAL ITEMS**

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| --- | --- |
| Title Deeds Leases Agreements Contracts | Indefinitely  |
| Planning Applications  | No requirement as details available on Local Authority website. Controversial plans may be kept subject to the Clerks/Councillor discretion  |
| Rawreth Parish Council Planning Applications  | Indefinitely |
| Electoral Roll (original held with Rochford District Council ) | Held for current year plus one year |

Adopted by Rawreth Parish Council…………… 3rd April 2024

Reviewed by Rawreth Parish Council