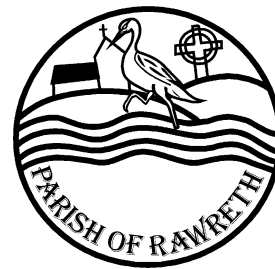


RAWRETH PARISH COUNCIL

GDPR DOCUMENT RETENTION POLICY



1. INTRODUCTION

- 1.1 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.
- 1.2 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 documents. However, it is important to note that this is a live document and will be updated on a regular basis.
- 1.3 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

- 2.1 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.

3. SCOPE

- 3.1 For the purpose of this strategy, '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

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 be 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.

5. 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.

6. ROLES AND RESPONSIBILITIES

- 6.1 The Clerk has overall responsibility for the policy.
- 6.2 The Clerk is responsible for maintenance and operation of this policy including ad hoc checks to ensure compliance.
- 6.3 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').

7. CONFIDENTIAL WASTE

- 7.1 Any information that is classified as confidential should be treated as confidential waste for disposal.
- 7.2 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.

7.3 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.

8. DISPOSAL OF DOCUMENTATION

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

9. RETENTION

9.1 Timeframes for retention of documents have been set out using the legislative requirement and the Chartered Institute of Personnel and Professional Development (CIPD) guidelines.

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

9.3 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.

9.4 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.

9.5 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'

10. 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.

11. HANDLING

11.1 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.

11.2 Personal information will only be available to those who are authorised.

12. USAGE

12.1 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

RECOMMENDED 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

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

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	6 Months
-Written	1 Year
-Final Warning	18 Months
-Anything involving children	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

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

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 21 st 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

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 3rd December 2025