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# Record Management and Document Retention Policy

## Introduction

The guidelines set out in this document support Caister-On-Sea Parish Council's 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.

It is important that Caister-On-Sea Parish Council has in place arrangements for the disposal and retention 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.

Caister-On-Sea 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.

## Aims and Objectives

It is recognised that up to date, reliable and accurate information is crucial to support the work carried out by Caister-On-Sea Parish Council and the services provided to our parishioners. 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/councillor's time and effort when retrieving information by reducing the amount of information that may be held unnecessarily; and
- Ensure archival records that are of historical value are appropriately retained for the benefit of future generations.

## Scope

For the purposes of this policy, 'documents' includes electronic, microfilm, microfiche and paper records.

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

## **Standards of Good Practice**

Caister-On-Sea Parish Council will make every effort to adhere to the following standards of good practice:

- Legal requirements for the retention of information as specified in the Retention Schedule at Appendix 1;
- Personal information will be retained in locked filing cabinets; access to these documents will only be 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 eg. Equalities data; and
- Wherever possible only one copy of any personal information will be retained and that will be held within the locked filing cabinet or secure storage.

## **Breach of Policy and Standards**

Any employee or councillor 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 taken against them.

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

## **Roles and Responsibilities**

Caister-On-Sea Parish Council Clerk assumes responsibility for the implementation of this policy under delegation of Caister-On-Sea Parish Council

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

Councillors are also responsible for their own good record management relating to their official email address alongside other official Council roles and duties that may involve information and data management.

## **Retention**

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).

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

Appendix 1 specifies the minimum requirements for the retention of documents as determined by Caister-On-Sea 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 Appendix 1.

**Disposal**

Documentation/data no longer required by Caister-On-Sea Parish Council for administrative purposes must be finely shredded and/or deleted entirely and securely from the Caister-On-Sea Parish Council computer system(s).

**Review**

Within 3 years, or as appropriate, the Council will review and update this policy.

Date of Policy	March 2025
Approving Committee	Full Council
Date of Committee Meeting	31 March 2025
Date of Adoption by Full Council	31 March 2025
Policy Version Number	1
Date of Next Review	March 2028

Signed: \_\_\_\_\_ Chair, Caister-On-Sea Parish Council

Date: \_\_\_\_\_

## APPENDIX 1

### Document Retention Timescales

DOCUMENT	RETENTION PERIOD
<b>Finance</b>	
Financial Public 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
Bank Reconciliation	3 years
Cheques presented/drawn on the Council and accounts	3 years
Grant/funding applications and claims	3 years
Precept forms	Indefinitely
Internal audit plans/reports	3 years
Fees and charges schedules	6 years
Loans and investments records; temporary loan receipts	10 years (after redemption of loan)

Current and expired insurance contracts and policies and insurance records	3 years (or as long as it is possible for a claim to be made)
Claims correspondence	3 years after settlement
Employers Liability Insurance certificate	40 years
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 date of redundancy
<b>Personnel/Employment</b>	
Unsuccessful application forms	6 months – 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	Annual appraisal/assessment records
For duration of employment +6 years	For duration of employment +6 years
Unpaid/special leave	For duration of employment +6 years
Annual appraisal/assessment records	For duration of employment +6 years
Time Control Records	For duration of employment +6 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 tax year when 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 child/young adult is involved, then until the person reaches the age of 21)
Redundancy records	6 years from the date of redundancy
Supporting documentation for tax returns	6 years
<b>Corporate</b>	
Councillor Register of Interest	When Councillor no longer holds public office
Councillors Declaration of Acceptance of Office forms	When Councillor no longer holds public office
Chair's Declaration of Acceptance of Office	When the term of office ends
All WPC minutes including minutes of committees, sub-committee meetings and any working group minutes	Permanently (in perpetuity) and archived after 2 years
Policies and procedures	3 years from date policy is superseded
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 registrations 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, summary of any financial/technical evaluation supplied with	1 year from date that tender is awarded

the expressions of interest initial application	
Successful tender documentation life of contract	6 years from date of final payments
Unsuccessful tender documentation	Until final payment of contract let is made
Deeds of land and property	Permanently or until property is disposed of
Land and property rental agreements	6 years after expiry of the agreement
Property evaluation lists	Indefinitely
Lease agreements, variation and valuation queries	15 years after the expiry of the agreement
Documentation referring to externally funded projects	6 years
Booking diaries	3 years
Premises License applications	Indefinitely
<b>Health &amp; Safety</b>	
Health and safety accident books and records	3 years after the date of the last entry (unless 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 age of 21
Medical records containing details of employee/contractor exposed to asbestos or as specified b the Control of Substances Hazardous to Health Regulations 1999	40 years from last date of 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 records	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 garden 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
<b>Other</b>	
Hard copy routine correspondence	Retain until matter is dealt with + 6 months. Where WPC believes it necessary to retain, personal information will be redacted accordingly
Electronic routine correspondence	As specified in Wistow Parish Council email policy
Requests under the Freedom of Information Act 2000	3 years from date of closure (unless challenged, then 6 years)
Planning applications	Council recommendations are recorded in minutes which are kept indefinitely. All correspondence to be retained in accordance with the routine documents/correspondence policy above. Where an application is refused, documentation will be retained until the appeal period has expired.
<b>Agreements &amp; Related Correspondence</b>	
Contracts with customers and suppliers	6 years after expiry or termination of contract.
Licensing agreements, rental/hire purchase agreements Indemnities and guarantees	6 years (generally the time limit within which proceedings founded on a contract may be brought)

Other agreements and contracts	If the contract is executed as a deed the limitation period is 12 years. Actions for latent damages may be brought up to 15 years after the damage occurs.
<b>Donations &amp; Subscription Records</b>	
Donations granted and related correspondence	6 years
Deed of covenant	6 years after last payment made but up to 12 years if any payments are still outstanding or there are any disputes regarding the Deed
Subscription records	3 years after cessation of membership