

SPENNYMOOR TOWN COUNCIL



DOCUMENT RETENTION GUIDELINES AT A GLANCE

Author of Policy:	Town Clerk
Date Effective From:	24 th May 2022
Policy Review: When & By Whom	12 th May 2022 Constitution Working Group
Next Review:	August 2023
Version:	V3

In accordance with the Freedom of Information Act 2000, this document will be posted on the Council's Website www.spennymoor-tc.gov.uk and copies of this document will be available for inspection on deposit in the Council Offices, Town Hall, Spennymoor. Costs are as per the publication scheme.

Retention guidelines are an essential tool for records management. They list how long we keep your records and when we can destroy them. This document provides a brief overview of the retention guidelines; it is not a substitute for the full retention guidelines, as it is designed to help you have a general understanding.

Legal Requirements

Some overarching legislation requires that records are kept for a certain amount of time and this applies to all services and sections of the County Council. These include:

The Data Protection Act 2018

[Principle 5](#) states that personal data shall not be kept for longer than is necessary.

The **General Data Protection Regulations** requires that information is:

1. processed lawfully, fairly and in a transparent manner;
2. collected only for specified, explicit and legitimate purposes;
3. retained only if relevant and limited to what is necessary for the purpose for which it is collected;
4. accurate and kept up to date;
5. kept no longer than is necessary; and
6. kept securely

The Freedom of Information Act 2000

The Act requires us to make information available to the public unless specific exemption(s) apply. [The Code of Practice issued under s46 of the Act](#) sets out rules on how we should manage records and information, including responsibilities on all staff to implement records retention and disposal schedules.

The Local Government Act 2000

[S.22](#) requires that written records of a local authority executive, or a committee of such an executive are made available to the public

Retention at a Glance

This section is intended to provide a quick reference guide to records retention periods. However, it does not give the full details of retention requirements, triggers, disposal actions and codes of practice.

Partnerships

Where Spennymoor Town Council are working in partnership with other agencies or services and a shared record has been established, a joint minimum retention period should be agreed where possible. Where a joint minimum retention period cannot be agreed the longest minimum retention period will apply to the record.

Community Safety	
Complaint Investigation and Enforcement	6 years after resolution, end of enforcement action or sentence period
Safety Registration and Licensing	6 years after expiry of license or registration
Democracy	
Outside bodies (minutes)	3 years
Standards Board	7 years
Cabinet minutes	6 years then archive
Council minutes	6 years then archive
Environmental Protection	
Complaint Investigation and Enforcement	6 years after resolution, end of enforcement action or sentence period
Finance	
Accounting and Reporting	6 years after end of financial year
Banking Administration	6 years after end of financial year
Budgets Management	6 years after end of financial year
Charities and Trusts Administration (Administrative records)	6 years after end of financial year
Charities and Trusts Administration (Deeds)	Transfer after wound-up
Financial Planning	6 years after end of planning period or strategy superseded
External Funding Acquisition	Minimum 6 years after end of funding period
Grant Funding Administration	Minimum 6 years after end of funding period
Income Processing	6 years after end of financial year
Loans and Leasing Administration	6 years after settlement or end of
Payroll Administration	6 years after end of financial year
Pension Fund Management	6 years after end of scheme
Pension Scheme Administration	6 years after death of last known beneficiary
Procurement (Unsuccessful tenders)	1 year after contract awarded
Procurement (Awarded contracts)	Statements of interest and unsuccessful tender documents: Destroy 2 years after end of

	<p>procurement exercise.</p> <p>Keep agreed specifications, evaluation criteria, and invitation to tender for 6 years from end of contract.</p> <p>Keep records relating to contracts for goods worth less than £5,000 for two years.</p> <p>Keep records relating to services for 2 years after payment of the last account.</p> <p>For contracts for goods over £5,000, keep successful tender and other contractual documents for 6 years from end of contract.</p>
Purchasing and Payment Processing	6 years after end financial year
Taxes Management	6 years after end of tax year
Health and Safety	
Accident and Incident Reporting and Investigation (Adults)	3 years after investigation
Accident and Incident Reporting and Investigation (Children)	21 years after date of birth
Advice Provision	6 years after date created
Hazardous Substances Management	100 years after date created
Health Surveillance and Exposure Monitoring (identifiable individuals)	Until 75 th birthday or 40 years after last medical assessment
Health Assessment	6 years after last assessment
Pre-employment health screening	1 year after date created
Risk Assessment	6 years after assessment superseded
Human Resources	
Employee Appraisals	Destroy 6 years after date of appraisal
Members Records	Destroy 5 years after leaving date
Routine Training (excl H&S training concerning children)	Destroy 4 years after date of training
Training Concerning Children	Destroy 35 years after date of training

Research and Project Materials	Destroy after 1 year
Apprenticeship Programme	Destroy after 1 year
Disciplinary Files	Destroy after 6 years. Destroy after 25 years for employees who work with children
Sickness Files	Destroy after 6 years. Destroy after 25 years for employees who work with children
Grievance Files	Destroy after 6 years. Destroy after 25 years for employees who work with children
Restructure Files	Destroy after 6 years. Destroy after 25 years for employees who work with children
Redundancy Files	Destroy after 6 years. Destroy after 25 years for employees who work with children
TUPE Files	Destroy after 6 years. Destroy after 25 years for employees who work with children
Information and Communication Technology (ICT)	
Licensing	6 years after date terminated
Web Content	7 years after date created
System Specifications	2 years after date created
Information Management	
Call Recording	1 year after date created
CCTV Recording	30 days after recording
Subject Access Requests	3 years after date created
Records Storage Management	Lifetime of organization
Leisure and Culture	
Collection Acquisition (Acquired items)	Lifetime of deposit

Collections and Stock Management	Lifetime of deposit
Management	
Business Planning	6 years after date created
Communications Management and Marketing	7 years after date created
Complaints Management (Service complaints)	6 years after resolution
Consultation and Engagement	6 years after date created
Events Management	6 years after event
Policy and Procedures Development	6 years after superseded
Research and Analysis (Raw data)	Out of date and/or no longer required
Research and Analysis (processed data,	6 years after date created
Strategic Planning	6 years after superseded
Transformation and Change Management	6 years after date created
Physical Assets, Allotments and Property	
Equipment Management	6 years after disposal of equipment
Facilities Management	1 year after date created
Land Access Agreements and Licensing	6 years after expiry of agreement or license
Land and Premises Acquisition and Disposal	15 years after disposal of land or premises
Land Management	12 years after end of STC responsibility for site
Land Reclamation Scheme Management	15 years after end of STC responsibility for site
Premises Design and Construction Supervision	15 years after completion or after STC no longer responsible for premises, site or structure
Vehicle and Fleet Maintenance	6 years after disposal of vehicle
Allotment Holder Information	6 years after tenancy ceases
Risk Management and Insurance Administration	
Audit	6 years after audit or investigation or legal
Business Continuity Planning	6 years after superseded

Insurance Claims Administration	6 years after settlement or repudiation but not before claimant reaches age of 24
Insurance Claims Administration (Subsidence claims)	100 years after settlement or repudiation
Insurance Policy Administration (Liability)	40 years after end of policy
Insurance Policy Administration (Non-liability)	10 years after end of policy

1 Roles and Responsibilities

- 1.1 The Town Clerk has overall responsibility for the policy.
- 1.2 The Town Clerk is responsible for the maintenance and operation of this policy including ad-hoc checks to ensure compliance.
- 1.3 Service Managers are responsible for ensuring their records are kept and destroyed in line with this policy.
- 1.4 The individual service areas are responsible for ensuring that the guidelines set out in this policy are adhered to and to ensure that any documents disposed of are done so in accordance with their 'sensitivity' (i.e. whether they are normal waste or 'Confidential Waste').

2 Confidential Waste

- 2.1 Fundamentally any information that is required to be produced under the Freedom of Information Act or Environmental Information Regulations, is available on the website or is open to public inspection, should NOT be treated as confidential waste.
- 2.2 However, any information that is protected by the Data Protection Act or as Confidential under the Council's Constitution should be treated as confidential waste for disposal purposes.
- 2.3 Examples of what constitutes confidential waste:
 - Exempt information contained within committee reports;
 - Files containing the personal details of an individual and files that predominantly relate to a particular individual or their circumstances - e.g. completed application forms and letters; and,
 - Materials given to the Council on a 'confidential' or on a limited use basis e.g. material provided by contractors or the police.

2.4 Examples of what does not constitute confidential waste:

- Documents that are available to the public via the Council website or by submitting an appropriate search request to the Council for general information
- All reports and background papers of matters taken to Committee in public session unless specifically exempt.

3 Disposal of Documentation

- 3.1 Confidential waste which clearly shows any personal information or information which can be identified using the parameters set out in 2.3 will be shredded within the council buildings.
- 3.2 All information which appertains to children is to be shredded.
- 3.3 Information placed in the blue bins inside the Council Offices is shredded by the contractor.
- 3.4 All other documents requiring disposal are to be placed in the roll top recycle bin in the waste store provided inside the rear of the Council Offices. These are collected separately and disposed of as general paper waste for recycling purposes.

4 Retention

- 4.1 Timeframes for retention of documents have been set using legislative requirements and the Chartered Institute of Personnel and Professional Development (CIPD) guidelines.
- 4.2 Throughout retention the conditions regarding safe storage and controlled access will remain in place.
- 4.3 Disclosure information appertaining to Disclosure and Barring Checks must be kept securely in a locked cabinet. Only those entitled to see it in the course of their duties should have access. The security and confidentiality of all Disclosure information is closely registered under the Police Act 1997.
- 4.4 Disclosure information must not be retained for a period of more than six months and must be destroyed in a secure manner using the shredder in the main office.
- 4.5 Any unauthorised employee accessing or attempting to access Disclosures or Disclosure information or personnel records will be dealt with under the Council's disciplinary procedures.

- 4.6 The table on pages 3 to 7 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 table.

5 Storage and Access

- 5.1 Disclosure information is kept separately from personnel files and in securely lockable, non-portable cabinet with access strictly controlled and limited to the Town Clerk, and the Town Clerk's Personal Assistant.

6 Handling

- 6.1 The Council complies with s124 of the Police Act 1997, so that Disclosure Information is only passed to those who are authorised to receive it in the course of their duties. 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.
- 6.2 Personal information will only be available to those who are authorised officers.
- 6.3 Customer details and information will be kept up to date and reviewed annually by an authorised officer.

7 Usage

- 7.1 Disclosure information is only used for the specific purpose for which it was requested and for which the applicant's/employee's consent has been given. Disclosure Information will be shared between different areas of the Council, if necessary.
- 7.2 Where Disclosure information is shared with anyone other than the Town Clerk and the direct Manager, the employee must be given a reason why this information is being shared.