

DOCUMENT AND ELECTRONIC DATA RETENTION POLICY

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1 Introduction

This Retention (“Policy”) applies to Sproughton Parish Council.

This Policy covers all records and documentation, whether analogue or digital and are subject to the retention requirements of this Policy.

For the purpose of this Policy, the terms ‘document’ and ‘records’ include information in both hard copy and electronic form and have the same meaning hereby referred to as Documents or Documentation.

In certain circumstances it will be necessary to retain specific records in order to fulfil statutory or regulatory requirements and to meet operational needs. Any retention of specific records should be retained under the retention period specified in Retention of Records Schedule 1 and Retention of Digital Records Schedule 2.

2 Scope

Sproughton Parish Council is bound by various obligations with regard to the Documentation and electronic data it retains. These obligations include the period of retention for Documentation and when and how this Documentation is disposed.

Article 5 of GDPR provides “personal data must be kept in a form which permits identification of data subjects for no longer than is necessary for the purposes for which the personal data are processed”. The purpose of this Policy is to ensure that necessary records, documents and electronic data of Sproughton Parish Council are adequately protected, archived and disposed of at the correct retention period, and to provide all staff with clear instructions regarding the appropriate retention and disposal of Documentation.

This Policy will also aid paper records and electronic data storage issues identified throughout the Council’s undertakings and to eliminate the need to retain paper and electronic records unnecessarily. Sproughton Parish Council will ensure that information is not kept longer than is necessary and will retain the minimum amount of information that it is required to hold to meet its statutory functions and the provision of its services.

3 Legal obligation

General Data Protection Regulation (GDPR)

Data Protection Act 1998 (DPA)

Freedom of Information Act 2000 (FOI)

Limitation Act 1980

Companies Act 2006

The Waste Electric and Electronic Equipment Regulations 2013

4 Retention Procedure

All decisions relating to the retention and disposal of Documents should be taken in accordance with this Policy in particular:

Schedule 1 – Retention of Records Schedule - provides the required retention periods, including the statutory minimum retention period for specific Documents.

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Schedule 2 – Retention of Digital Records – Provides the required retention periods for all digital Documents.

In circumstances where a retention period of a specific document has expired, a review should always be carried out prior to a decision being made to dispose of the record.

5 Retention of Encrypted Data

Any information retained under this Policy that is in an encrypted format, consideration must be taken for the secure storage of any encryption keys. Encryption keys must be retained as long as the data that the keys decrypt is retained.

6 Retention of Digital Data

Any digital data including media and e mail files are retained on the Parish Council's desk-top computer at the Parish Council office. The backup of electronic data is updated monthly and is stored at the home of the Parish Council chairman.

The process for accessing stored electronic data is permitted by the Parish Clerk and by Parish Councillors with permission granted by the Parish Clerk. Records are protected from loss, destruction or falsification by secure electronic transfer.

All portable / removable storage media are destroyed in accordance with section 7 of this Policy.

All cryptographic keys, which are required for the storage of sensitive data, such as electoral records are retained on the Parish Council desk-top computer.

7 Archiving and Retention of Documentation

Archiving is defined as the process by which inactive data, in any format is securely stored for long periods of time in accordance with a retention schedule.

Sproughton Parish Council archives paper records at the Parish Council office, the Tithe Barn, Lower Street, Sproughton and at the Suffolk Records Offices.

All documentation should be retained for twelve (12) months on site in a secure location, at the end of the twelve (12) month period all documentation will be archived as appropriate.

There may be exceptions where documentation will need to be retained for longer periods at site, in these instances the Parish Clerk will be responsible for ensuring that the documentation is held in a safe and secure location.

8 Archiving Process

The method of archiving selected for a particular Document will vary.

In all cases identify the documents that need to be retained in accordance with the Retention of records Schedule (attached at Schedule 1). Remove all duplicates and any unnecessary papers. Obtain the agreed Standard Archiving Box, clearly label the box and ensure it is correctly sealed.

9 Disposal of Records

Any record containing confidential information must either be disposed of in a confidential waste bin or shredded using a cross-cut shredder.

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Disposal of documents that do not contain confidential information may be disposed of in the normal way or recycled.

Records of disposal should be maintained by each department and should detail as a minimum the document disposed of, the date of disposal and the disposal authority.

10 Disposal of Electrical Hardware

IT equipment and devices that have the ability and capability to store personal data include:

- a) PC's
- b) Laptops
- c) Mobile Phones
- d) Multi-Functional Devices – printers / scanners
- e) Servers
- f) USB Memory Sticks and external hard drives.

IT equipment disposal must be managed by Parish Council.

All computer equipment, recycling or refurbishing must be disposed of in accordance with the Waste Electric and Electronic Equipment Regulations 2013.

11 Document Owner

Sproughton Parish Council is the owner of this document and is responsible for ensuring that this Policy is reviewed in line with the review requirements of GDPR.

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SCHEDULE 1

RETENTION OF RECORDS SCHEDULE

RECORD TYPE	RETENTION PERIOD	RETENTION JUSTIFICATION
Receipt & Payment Accounts	Indefinite	Archive, Companies Act 2013
Minute Books	Indefinite	Archive
Bank Statements	Last completed audit year	Audit
Bank paying-in books	Last completed audit year	Audit
Cheque book stubs	Last completed audit year	Audit
Quotations/tenders	6 years	Limitation Act 1980 (as amended)
Supplier Contracts	6 years	Limitation Act 1980 (as amended)
Paid invoices	6 years	VAT
VAT records	6 years	VAT
Insurance policies	While valid	management
Certificates for insurance against liability for employees	40 years from date on which insurance commenced or was renewed	The Employer's Liability (Compulsory Insurance), Regs. 1998 (SI 2753), Management
Tithe Deeds, Leases, Agreements, Licences	Indefinite	Audit, Management
Tithe Barn: application to hire, acceptance of Conditions to Hire, hiring payment records	6 years	VAT
Employee Data – relating to interview process	6 months	
Employee Data - payroll	3 years	
Employee Data – Other e.g. contracts, appraisals	6 years	

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SCHEDULE 2

RETENTION OF DIGITAL RECORDS SCHEDULE

RECORD TYPE	RETENTION PERIOD	RETENTION JUSTIFICATION	OPERATING SYSTEM	APPLICATION / HARDWARE REQUIREMENT	DISPOSAL METHOD
Email	2 years	To satisfy customer complaints	Windows Live Mail	Office PC	Deletion from account.
Electronic Back-up	12 months	To protect records from loss, destruction or falsification	Clickfree	External Hard Drive	Deletion
Electronic Files	3 years from date last used	To protect records from loss, destruction or falsification	Windows 10	Office PC	Deletion