

MASTER DATA RETENTION POLICY & SCHEDULE

including DATA STORAGE GUIDANCE

Other relevant CVS policies:

Data Management Policy & Procedure

Information Governance Policy, Procedure & Plan

Confidentiality Policy & Audit Procedure

General Data Retention Policy & Schedule

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POLICY

1. Overview

This document outlines the data retention periods applicable to general records created during the course of Sefton CVS business. Adherence to this guidance alongside other Sefton CVS Information Governance policies will ensure compliance with the Data Protection Act 1998.

2. Aim

This policy and schedule will support staff, volunteers and where appropriate, contractors and/or consultants in the timely destruction / removal of records from file / electronic media. It also provides guidance in relation to data storage and data security, supporting staff to ensure that data is handled and stored appropriately and securely.

3. Scope

This relates to all data (including personal identifiable and sensitive data) for which Sefton CVS is the Data Controller (owner).

4. Responsibilities

It is the responsibility of all staff, volunteers, associates and contractors to ensure that data is treated appropriately at all times.

5. Monitoring & Review

This policy and schedule will be reviewed annually to ensure it reflects current legislation and best practice.

PROCEDURE

6.1 Data Retention

Many funders stipulate in their contract the length of time that documents relating to their particular funding should be kept. Legislation and best practice (detailed in the schedule) also sets out requirements and guidelines relating to the retention of documents. Staff should consult both of these sources to establish the retention periods for each specific type of document – the periods of retention noted in the schedule are likely to be the maximum and in practice, shorter periods may be applied in suitable cases. If further guidance is required please contact the Sefton CVS Information Governance Lead.

(Note: prompt deletion / disposal must occur after the specified retention period is over).

Some contracts (particularly for European funding) specify long retention periods...some additional guidance relating to these contracts is provided overleaf:

European Contracts (eg: ERDF / ESF projects)

- For ESF and ERDF contracts, *as a minimum* all original documents relating to the implementation of the project and its financing must be retained for a **two year period from the 31st December after the Audit Authority submits the Annual Control Report in which the final expenditure for the completed project is included. *This should NOT be interpreted as 2 years after the project submits its final claim.*** The retention period is unique to each project and cannot be specified at the outset; ***the grant recipient will be informed of the retention period at the end of the project.*** This is to ensure documents may be made available to the European Commission and European Court of Auditors upon request in accordance with Article 140(1) of Regulation (EU) No 1303/2013. ***By way of guidance...for projects funded from the 2007-2013 ESF programme, all documents must be retained until 31st December 2022!***
- Auditors will want to see originals of invoices, receipts, activity records etc. so please bear this in mind when storing / archiving. In addition to participant-related documentation, this will include all evidence of costs incurred, financial contributions made towards the project and payments made to other parties, including quotes, tender and procurement practices and documentation (where applicable), original invoices and evidence of defrayment of expenditure from CVS and any delivery partners' bank account/s.
- ***If you don't have the records you may have to pay money back - even if the project ended years ago***
- For European contracts, ***DON'T throw anything away, unless you have received confirmation from the Managing Authority!***

More specific guidance can be found by accessing the following

ERDF Guidance:

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/591608/ESIF-GN-1-008_ERDF_Document_Retention_Guidance_v1.pdf

ESF Guidance:

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/591617/ESF_Guidance_on_document_retention.pdf

6.2 Data Storage

Information must only be stored for as long as it is needed or required by statute / funders and must be disposed of appropriately (ie: shredded / deleted from all sources).

Electronic records

Care must be taken to ensure all personal and company information is not recoverable from any computer system currently or previously used within the organisation, and is only accessible to authorised staff / volunteers. Therefore please ensure:

- Computers are not left logged on and unattended for long periods / overnight
- Files containing personal information relating to service users are password protected
- Laptops / pen drives contain minimal company data and ***no personal information***
- Equipment passed on/sold to a third party is cleared of any relevant information

The rule of thumb is...if it is issued in electronic form, keep it in electronic form!

Paper records

Information and records containing personal information relating to service users must be stored securely (ie: locked filing cabinet).

Storage boxes for archiving must be clearly labelled as follows:

- Project Name
- Date Stored
- Date of Disposal - *must specify the date when the documents inside can be destroyed*
- Content Overview
- Responsible Officer

Please remember: the periods of retention included in the schedule are likely to be the maximum and, in practice, shorter periods may be applied in suitable cases.

Records should not be stored for longer than stated and must be disposed of securely!

6.3 Data Security

Physical Security

- Control access to buildings / rooms containing computer hardware (eg: laptops and PCs)
- Take adequate precautions against burglary, fire or other natural disasters
- Ensure that casual passers-by or other unauthorised personnel cannot read data on screens or printouts
- Keep source documentation (hardcopy from which personal data is extracted) secure and locked away when not in use.
- Handle and dispose of printed material containing personal data securely

Electronic Security

- Ensure that all PCs and Laptops are protected with appropriate, approved anti-virus and firewall software and ensure these are kept up-to-date (seek technical support if required)
- Ensure the security and safety of laptops and other mobile devices
- Safeguard individual passwords closely and do not divulge them to others
- Follow good practice when setting passwords
- Make full use of facilities to restrict access on the basis of authority levels where appropriate
- Ensure that mobile devices (such as laptops / pen/hard drives) are not used to store personal data
- Ensure that mobile devices (such as laptops / pen/hard drives) are accounted for and can be located immediately when necessary
- Always use approved software when storing personal data
- Do not download any unauthorised software under any circumstances (seek technical advice if required)

Additional Safeguards

- Anonymise data as far as possible
- De-personalise data for statistical analysis
- Give access to data only on a "need to know" basis
- Restrict the use of data; i.e. the number of people it is disclosed to and the time retained
- Delete, purge and archive data that is no longer required
- Do not create parallel files (e.g. do not keep multiple copies, as this can cause confusion!)
- Encourage more discipline when holding information; do not hoard data!

Practical Security Measures - All staff must adhere to the following:

DO:

- Challenge (politely!) the identity of anyone you do not know
- Lock draws, cupboards, filing cabinets, etc...when not in use
- Lock, log off or turn off your computer if you are leaving it, even for a short period of time
- Record only that which is relevant, adequate and not excessive
- Securely destroy any paper data that is no longer needed (shredding is recommended)
- Make sure that you lock away all personal identifiable information in a draw, cabinet or cupboard if you are leaving it unattended, even for a short period of time
- Report any actual or potential breaches of security to your Line Manager and/or the Information Governance Lead at the earliest possible opportunity

DO NOT:

- Give your computer password(s) to anyone else to use
- Access information you are not entitled to see (this may result in disciplinary procedures)
- Leave your laptop / mobile device on view in a public place
- Store emails indefinitely or forward emails containing sensitive personal identifiable information
- Leave confidential paper based information (e.g. personal identifiable information) on view, whether at your desk, in the office, or in any public area
- Leave personal identifiable information in the back or the boot of a vehicle, whether on display or not
- Take personal identifiable information home unless you have the express permission of your Line Manager, and you can ensure you store it securely
- Give out information about a data subject in general conversation to anyone, including work colleagues, friends or relatives

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Document prepared with reference to:

- the SMBC Guideline for Document Retention and Disposal V1.3 accessed - November 2017 via Wayne Leatherbarrow (Performance & Intelligence Service Manager)
- the Institute of Chartered Secretaries and *Administrators' Guide to Document Retention* published by ICSA Publishing Ltd
- the Sefton CVS Data Protection Security Policy 2006
- Merseyside Network for Europe – advice re European contracts [accessed 14/3/11]

Management and Administration

Guidelines for Document Retention and Disposal

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
1	Management and Administration			
	Corporate planning and reporting			
1.1	The corporate planning and reporting activities of Sefton CVS	Permanent / Archive Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Corporate Plans • Strategy Plans • Business Plans • Annual Reports 	Common practice
1.2	The process of preparing business for strategic consideration and making the record of discussion, debate and resolutions	Permanent / Archive Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Board / Strategic management team minutes 	Common practice
	Policy, Procedures, Strategy and Structure			
1.3	Activities that develop policies, procedures, strategies and structures for Sefton CVS	Permanent / Archive Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Policy, procedure, precedent, instructions • Organisation charts • Records relating to policy implementation and development • Asset management plan 	Common practice
1.4	The process of monitoring and reviewing strategic plans, policies or procedure to assess their compliance with guidelines	Destroy 5 years after closure	<ul style="list-style-type: none"> • Review schedule 	Common practice
	Information Management			

Management and Administration

Guidelines for Document Retention and Disposal

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
1.5	The activity whereby standards, authorities, restraints and verifications are introduced and maintained to manage information effectively	Permanent / Archive Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Classifications schemes • Registers • Indexes • Authorised lists of file headings 	Common practice
1.6	The management of collections of records transferred to the archive	Permanent / Archive Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Depositor files 	Common practice
1.7	The process that records the disposal of records	Destroy 12 years after last action	<ul style="list-style-type: none"> • Disposal schedule 	Common practice based on Limitation Act
1.8	Responses to Freedom of Information / Subject Access Requests	Destroy 3 years after the response date NB: It is a matter of good practice that the information referred to in the FOI/SAR response is retained for 6 months following the response, so as to allow any review by the Information Commissioners Office (ICO)	<ul style="list-style-type: none"> • Responses provided to FOI/SAR requests, supporting evidence and documentation 	"Retention and Destruction of Requested Information" published by ICO
	Enquiries and Complaints			
1.9	The management in summary form of complaints directed to Sefton CVS	Permanent / Archive Transfer to place of deposit after administrative use is concluded.	<ul style="list-style-type: none"> • Complaint Register 	Common practice
1.10	The management of enquiries, submissions and complaints resulting in significant changes to policy or procedures	Permanent / Archive Transfer to place of deposit after administrative use is concluded.	<ul style="list-style-type: none"> • Reports • Returns • Correspondence 	Common practice

Management and Administration

Guidelines for Document Retention and Disposal

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
1.11	The management of detailed responses on Sefton CVS actions, policy or procedures	Destroy 6 years after administrative use is concluded	<ul style="list-style-type: none"> • Reports • Returns • Correspondence 	
1.12	The management of routine responses on Sefton CVS actions, policy or procedures	Destroy 2 years after administrative use is concluded	<ul style="list-style-type: none"> • Printed material • Forms 	
	Quality and performance management			
1.13	The process of monitoring or reviewing the quality, efficiency, or performance of a Sefton CVS service or project	Destroy 5 years from closure	<ul style="list-style-type: none"> • Review documents 	Common practice
1.14	The process of assessing the quality, efficiency, or performance of a Sefton CVS service or project	Destroy 2 years from closure	<ul style="list-style-type: none"> • Assessment forms 	Common practice
	Public Relations - Publications			
1.15	The process of designing and setting information for publication	Destroy 3 years from last action		Common practice
1.16	The published work of Sefton CVS	Destroy after administrative use is concluded Note: One copy from the initial print run should go directly to the archive.		Common practice
	Public Relations - Media Relations			
1.17	Process of interaction with the media	Destroy 3 years from closure		Common practice

Management and Administration

Guidelines for Document Retention and Disposal

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
1.18	Media publications concerning Sefton CVS	Permanent / Archive Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Press cuttings • Media reports 	Common practice
	Public Relations - Marketing			
1.19	The process of developing and promotion of Sefton CVS campaigns and events	Permanent / Archive Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Flyers 	Common practice

Client Services

Guidelines for Document Retention and Disposal

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
2	Client Services			
	Case Management			
	Safeguarding Children & Adults at Risk of Harm			
2.1	Concern raised about the welfare of a child or adult at risk of harm – referral <i>not</i> progressed to social care	<p>Destroy 1 year after the child / adult ceases to use the service unless they continue to access the organisation</p> <p><i>If deemed necessary documents can be retained for longer, however the reason for any variance must be documented</i></p>	<ul style="list-style-type: none"> • Staff support meeting notes between designated safeguarding lead and member of staff/volunteer • Completed safeguarding concern record • Record of referral to Early Help or other agency • Safeguarding logs 	Common Practice (NSPCC guidance accessed Nov 2017)
2.2	Concern raised about the welfare of a child or adult at risk of harm – <i>referred on</i> to social care or the police	<p>Destroy 6 years after the child / adult ceases to use the service unless they continue to access the organisation or any exemptions apply</p> <p><i>If deemed necessary documents can be retained for longer, however the reason for any variance must be documented</i></p>	<ul style="list-style-type: none"> • Social Care referral acknowledgement • Staff support meeting notes between designated safeguarding lead and member of staff/volunteer • Completed safeguarding concern record • Referral and response documentation to social care • Correspondence between Sefton CVS and Social Care practitioner • Safeguarding logs 	Common Practice (NSPCC guidance accessed Nov 2017)
	Services for Children – General			

Client Services

Guidelines for Document Retention and Disposal

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
2.3	Process involving individual case management of services or support to children and young people (0-19)	Destroy 10 years after closure	<ul style="list-style-type: none"> Children & Young people's client records 	Common practice
	Services for Children with Additional Needs			
2.4	Process involved in assessing and providing individual support for children who require additional support	Review 25 years after the child's DOB, then destroy 10 years after last contact	<ul style="list-style-type: none"> Buddy-up project records 	Limitation Act 1980 – it may be appropriate to add an additional retention period in certain cases
	Services for Children – Looked After Children (LAC)			
2.5	Process involved in assessing and providing individual support for Looked After Children (including those who are young offenders)	Destroy 75 years after the 18 th birthday of the child or if dies before attaining the age of 18, destroy 15 years after the date of the child's death	<ul style="list-style-type: none"> Looked after children case files 	Regulation 50 – Retention and Confidentiality of Records – Care Planning, Placement and Case Review (England) Regulations 2010 No. 959
	Services for Children - Young Offenders			
2.6	For prevention programmes where data directly provided by YOT	Destroy 12 months from the expiry of the intervention	<ul style="list-style-type: none"> MOM Youth Offender risk information 	The retention period for the information shared held by the Youth Offending Service is dependent upon the nature of the child's involvement with the service in accordance with the Youth Justice Board Advice on Information Management*
2.7	For out of court disposals	Destroy 3 years from the expiry of the intervention or from when the young person reaches 18, whichever occurs first	<ul style="list-style-type: none"> MOM Youth Offender records 	

Client Services

Guidelines for Document Retention and Disposal

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
2.8	For Court orders	Destroy 5 years from the expiry of the intervention or from when the young person reaches 18, whichever occurs first	<ul style="list-style-type: none"> MOM Youth Offender records 	*Advice on Information Management in Youth Offending Teams (England)' – Youth Justice Board, 2011
	Family Support Services			
2.9	Process involving individual case management in the provision of support to families	7 years from file closure	<ul style="list-style-type: none"> Parenting skills Additional education Attendance records Project files 	Common practice
	Adult and Older People Case Files			
2.10	Process involving summary case management of services or support to adults	Permanent / Archive Transfer to place of deposit after administrative use is concluded		Common practice
2.11	Process involved in assessing and providing individual support for people with mental illness	Destroy 20 years after last contact or 8 years after their death if sooner	<ul style="list-style-type: none"> Mental Health files 	Common practice
2.12	Process involved in assessing and providing individual support or services for all other people	Destroy 8 years after last contact	<ul style="list-style-type: none"> Learning disability Physical disability Sensory disability Rehabilitation and discharge Communication support Drug / alcohol misuse 	Common practice Limitation Act 1980 IGA Records Management Code of Practice for Health and Social Care 2016
	Programme Management and Development			
2.13	Process involved in the development of services or programmes for children	7 years from closure		Common practice

Client Services

Guidelines for Document Retention and Disposal

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
2.14	Process involved in provision of services or programmes to support the development of children (0-12)	25 years from closure	<ul style="list-style-type: none"> Attendance records 	Common practice Limitation Act 1980/The Statute of Limitations (Amendment) Act 1991
2.15	Process involved in provision of services or programmes to support the development of young people (13-19)	15 years from closure	<ul style="list-style-type: none"> Attendance records 	Common practice Limitation Act 1980/The Statute of Limitations (Amendment) Act 1991
2.16	Process involved in provision of services or programmes to adults	7 years from closure	<ul style="list-style-type: none"> Attendance records 	Common practice
	Training and Development - General			
2.17	Training (materials)	Destroy 1 year after course is superseded	<ul style="list-style-type: none"> Lesson plans 	Common practice
2.18	Training (proof of completion)	Destroy 7 years after action completed	<ul style="list-style-type: none"> Certificates Awards Exam results 	Common practice

Legal and Contracts

Guidelines for Document Retention and Disposal

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
3	Legal and Contracts			
	Litigation			
3.1	The process of managing, undertaking or defending for or against litigation on behalf of Sefton CVS	Destroy 7 years after last action. Major litigation – Permanent / Archive	<ul style="list-style-type: none"> • Criminal case file • Childcare case file • Civil case file • correspondence 	Common practice
	Agreements			
3.2	Process of agreeing terms between organisations Note: this does not include contractual agreements	Destroy 6 years after agreement expires or is terminated	<ul style="list-style-type: none"> • Agreement 	Common practice Depends on value of agreement
	Contracts and Tendering			
	Pre Contract Advice			
3.3	The process of calling for expressions of interest	Destroy 2 years after contract let or not proceeded with	<ul style="list-style-type: none"> • Expressions of Interest 	Common practice
	Specification and Contract Development			
3.4	The process involved in the development and specification of a contract	Destroy 6 years after the terms of contract have expired	<ul style="list-style-type: none"> • Tender specification 	Statutory practice
	Tender Issuing and Return			
3.5	The process involved in the issuing and return of a tender	Destroy 1 year after start of contract	<ul style="list-style-type: none"> • Opening notice • Tender envelope 	Common practice
3.6	Evaluation of Tender	Destroy 6 years after the terms of contract have expired (12 years for contracts under seal)	<ul style="list-style-type: none"> • Evaluation criteria 	Statutory practice

Legal and Contracts

Guidelines for Document Retention and Disposal

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
3.7	Successful tender document	Destroy 6 years after the terms of contract have expired (12 years for contracts under seal)	<ul style="list-style-type: none"> • Tender documents • Quotations 	Statutory practice
3.8	Unsuccessful tender documents	Destroy 1 year after start of contract	<ul style="list-style-type: none"> • Tender documents • Quotations 	Common practice
	Post Tender Negotiation			
3.9	The process in negotiation of a contract after a preferred tender is selected	Destroy 1 year after the terms of contract have expired	<ul style="list-style-type: none"> • Clarification of contract • Post tender negotiation minutes 	Common practice
	Awarding of contract			
3.10	The process of awarding a contract	Destroy 6 years after the terms of contract have expired (12 years for contracts under seal)	<ul style="list-style-type: none"> • Signed contract 	Statutory practice
	Contract Management			
3.11	Contract operation and monitoring	Destroy 2 years after the terms of contract have expired	<ul style="list-style-type: none"> • Service Level Agreements • Compliance reports • Performance reports 	Common practice
3.12	Management and amendment of contract	Destroy 6 years after the terms of contract have expired (12 years for contracts under seal)	<ul style="list-style-type: none"> • Minutes / papers of meetings • Changes to requirements • Variation forms • Extension of contract • Complaints • Disputes on payment 	Statutory practice

Human Resources

Guidelines for Document Retention and Disposal

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
4	Human Resources			
	Personnel administration			
4.1	Summary management systems that allow the monitoring & management of employees in summary form <u>Note: summary information includes:</u> Name DOB Date of appointment Work history details Position/designation Titles & dates held	Permanent / Archive Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Employment Register – Permanent Staff • Employment Register – Temporary Staff • Employment Register – Casual Staff • Registers of personnel files • Superannuation history • Salary master record • All additional correspondence 	Common practice
4.2	The process of administering employees to ensure that entitlements and obligations are in accordance with agreed employment requirements <ul style="list-style-type: none"> • Records containing superannuation information 	Destroy 6 years after last pension payment	<ul style="list-style-type: none"> • Medical clearance • Letter of appointment • Letter of acceptance • Details of assigned duties • Probation reports • Medical examinations • Personal particulars • Educational qualifications • Declarations of pecuniary interests • Secrecy undertakings • Employment contracts 	Common practice
4.3	Records relating to staff working with children	Termination + 25 years	•	
4.4	All other records	Termination + 6 years	•	
	Allegations Management		•	

Human Resources

Guidelines for Document Retention and Disposal

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
4.5	Allegation raised regarding suitability of an adult staff member or volunteer with regards to behaviour linked to working with children or vulnerable adults	<p>Destroy when the employee reaches the age of 79 or 6 years after their death, whichever is the longer period</p> <p><i>If deemed necessary documents can be retained for longer, however the reason for any variance must be documented</i></p>	<ul style="list-style-type: none"> • Personnel files • Training Records • Disciplinary records • Meeting notes regarding allegation • Witness discussion notes • Notes relating to discussions with victim the allegation is concerned with • Correspondence such as emails, letters, meeting notes held with the Local Authority Designated officer. 	NHS England record keeping policy
	Employee and Industrial Relations			
4.6	Identification & development of significant directions concerning industrial matters	Permanent / Archive Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Generic agreements and awards • Negotiations • Disputes • Claims lodged 	Common practice
4.7	Liaison process of minor and routine industrial matters	Destroy 2 years after administrative use is concluded	<ul style="list-style-type: none"> • Daily industrial relations management 	Common practice
4.8	Processing of disciplinary and grievance investigations where proved	<ul style="list-style-type: none"> • Oral Warning - 6 months • Written Warning - 1 year • Final Warning - 18 months <p>Note: the above warnings should be destroyed after the relevant time has 'spent'</p> <ul style="list-style-type: none"> • Warnings Involving Children – Permanent / Archive 	<ul style="list-style-type: none"> • Disciplinary 	For all practical purposes this function would not be subject to records management, except for Warnings Involving Children, which remain on the personal file permanently for reference purposes

Human Resources

Guidelines for Document Retention and Disposal

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
4.9	Processing of disciplinary and grievances investigations where unfounded	Destroy immediately after the grievance is proved to be have been unfounded; or after appeal	<ul style="list-style-type: none"> Disciplinary 	Common practice
	Equal Employment Opportunities			
4.10	The process of investigation and reporting on specific cases to ensure that entitlements & obligations are in accordance with agreed Equal Employment Opportunities guidelines / policies	Destroy 5 years after action completed		Common practice
	Occupational Health			
4.11	The process of checking and ensuring the health of staff	Destroy 75 years after DOB	<ul style="list-style-type: none"> Health related offers Medical clearance Adjustment to work place Restrictions Recommendations 	Common practice
4.12	Occupational Health referrals and reports	Destroy 6 years from employee leaving date	Referral to Occupational Health and reports produced as a result	RGLA 6.10
	Recruitment			
4.13	The selection of an individual for an established position	Destroy 1 year after recruitment has been finalised (For letter of appointment for successful candidate use employment conditions)	<ul style="list-style-type: none"> Advertisements Applications Referee reports Interview reports Unsuccessful applicants 	Common practice
	Staff Monitoring			
4.14	Performance	Destroy 5 years after action completed	<ul style="list-style-type: none"> Probation reports Appraisal reports Staff support records Project Review documents 	Common practice

Human Resources

Guidelines for Document Retention and Disposal

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
4.15	Process of monitoring staff leave and attendance	Destroy 2 years after action completed	<ul style="list-style-type: none"> • Sick leave • Jury service • Study leave • Special and personal leave • Attendance books • Flexitime sheets • Annual leave 	Common practice
	Termination			
4.16	The process of termination of staff through voluntary redundancy, dismissal and retirement	Destroy 6 years after termination (If a pension is paid, destroy 6 years after final pension payment)	<ul style="list-style-type: none"> • Resignation • Redundancy • Dismissal • Death • Retirement 	Common practice
	Training and Development			
4.17	Routine staff training processes, not occupational health and safety or children related	Destroy 2 years after action completed	<ul style="list-style-type: none"> • Staff training log 	Common practice
4.18	Training (concerning children)	Destroy 35 years after training completed, or last entry	<ul style="list-style-type: none"> • Staff training log 	Common practice
4.19	Training (occupational health and safety training)	Destroy 50 years after training completed	<ul style="list-style-type: none"> • OH&S training log 	Common practice
4.20	Training (materials)	Destroy 1 year after course superseded		Common practice
4.21	Training (proof of completion)	Destroy 7 years after action completed	<ul style="list-style-type: none"> • Certificates • Awards • Exam results 	Common practice

Financial Management

Guidelines for Document Retention and Disposal

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
5	Financial Management			
	Accounts & Audit			
	Reporting			
5.1	Company Accounts (complying with Companies Act 2006)	Permanent / Archive Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Annual Accounts • General ledger 	Common practice
	Financial Transactions Management			
5.2	Management of the approvals process for purchase, including investigations	Destroy 7 years after the end of the financial year in which the records were created	<ul style="list-style-type: none"> • Appointments & delegations • Audit investigations • Arrangements for the provision of goods and/or services 	Statutory
5.3	Identification of the receipt, expenditure and write offs of public monies	Destroy 6 years after the conclusion of the financial transaction that the record supports	<ul style="list-style-type: none"> • Invoices • Credit card statements • Cash books • Receipts • Cheque counterfoils • Bank statements 	Statutory This period may be reduced with the agreement of Customs and Excise and/or the Inland Revenue
5.4	Processes that balance & reconcile financial accounts	Destroy 2 years after administrative use is concluded	<ul style="list-style-type: none"> • Reconciliation • Summaries of accounts 	Common practice
5.5	Taxation Records	Destroy 5 years after the end of the financial year in which the records were created	<ul style="list-style-type: none"> • Taxation records • Group certificates 	Statutory
5.6	Processes involved in the collection of National Insurance Numbers	Destroy 2 years after the employee ceases employment	<ul style="list-style-type: none"> • Notification & input records 	Common practice

Financial Management

Guidelines for Document Retention and Disposal

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
	Payroll			
5.7	Accountable processes relating to payment of employees	Destroy 7 years after the conclusion of the financial transaction that the record supports	<ul style="list-style-type: none"> • Authority sheets • Payroll deduction authorities • Payroll disbursement • Employee pay records • Employee taxation records 	Statutory
5.8	Non-accountable processes relating to payment of employees	Destroy after administrative use is concluded	<ul style="list-style-type: none"> • Summary employee pay reports 	Common practice
	Financial Provisions			
	Budgets and Estimates			
5.9	The process of finalising annual budget	Permanent / Archive Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Annual budget 	Common practice <u>Only the final version of the annual budget needs to be kept</u>
5.10	The process of reporting which examines the budget in relation to actual revenue and expenditure	Destroy after next year's annual budget has been adopted	<ul style="list-style-type: none"> • Quarterly statements 	Common practice
	Loans			
5.11	The activity of borrowing money to enable Sefton CVS to perform its functions	Destroy 7 years after the loan has been repaid	<ul style="list-style-type: none"> • Loan files 	Statutory practice
5.12	Summary management of loans	Permanent / Archive Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Loans registers 	Common practice
	Summary Assets Management			

Financial Management

Guidelines for Document Retention and Disposal

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
5.13	Summary management reporting on the overall assets of Sefton CVS	Permanent / Archive Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Schedules of acquisitions • Consolidated current asset reports • Annual reports • Summary of current assets • Asset registers 	Common practice
	Asset Acquisition and Disposal			
5.14	Management of the acquisition (by financial lease or purchase) and disposal (by sale or write off) process for assets	Destroy 6 years , if under £50,000 or 12 years if over £50,000, after all obligations/entitlements are concluded	<ul style="list-style-type: none"> • Legal documents relating to the purchase/sale • Particulars of sale documents • Leases • Applications for leases, licences & rental revision • Tender documents • Conditions of contracts • Certificates of approval 	Statutory practice

Property and Land Management

Guidelines for Document Retention and Disposal

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
6	Property and Land Management			
6.1	Reports to management on overall property of Sefton CVS	Permanent / Archive Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Consolidated property & buildings annual reports • Summary of leased property • Summary of owned property • Register of leases 	Common practice
	Transport Management			
6.2	The process of acquisition and disposal of vehicles through lease or purchase	Destroy 7 years after the disposal of the vehicle	<ul style="list-style-type: none"> • Leases • Contracts • Quotes • Approvals 	
6.3	The process of managing allocation & maintenance of vehicles	Destroy 7 years after the sale or disposal of the vehicle	<ul style="list-style-type: none"> • Approvals as drivers • Allocations & authorisations for vehicles • Maintenance 	
	Insurance Policy Management			
6.4	The summary management of insurance arrangements	Permanent / Archive Transfer to place of deposit after administrative use is concluded.	<ul style="list-style-type: none"> • Insurance register 	
6.5	The process of insuring workforce, property, vehicles and equipment against negligence, loss or damage	Destroy 7 years after the terms of the policy have expired	<ul style="list-style-type: none"> • Insurance policies • Correspondence 	
	Insurance Claims Management			
6.6	The process that records insurance claims against Sefton CVS or employees	Destroy 7 years after all obligations/entitlements are concluded (allowing for the claimant to reach 25 years of age)	<ul style="list-style-type: none"> • Claims records • Correspondence 	

Property and Land Management

Guidelines for Document Retention and Disposal

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
6.7	Records – settled claims	Destroy 7 years after all obligations/entitlements are concluded, or if the individual is under 18 years of age at the time of the incident – destroy 6 months after their 21st birthday , or PERMANENTLY RETAIN if the claim relates to child abuse	Documentation relating to settled claims made against Sefton CVS (ie: where payments have been made)	Limitation Act 1980, RGLA 8.21
6.8	Records – repudiated claims	Destroy 7 years after the incident date in the case of property damage (including motor) claims, or 3½ years for personal injury claims, or if the individual is under 18 years of age at the time of the incident - destroy 6 months after their 21st birthday , or PERMANENTLY RETAIN if the claim relates to child abuse	Documentation relating to claims made against Sefton CVS	Limitation Act 1980, RGLA 8.21
6.9	Records – “own damage” claims	Destroy 2 years after settlement of claim	Documentation relating to claims made on material damage, motor and internal all risks policies	None
6.10	Insurance Certificates	Destroy 75 years after the terms of the policy have expired	Insurance certificates issued	None
6.11	Insurance Policies	Destroy 7 years after the terms of the policy have expired	Documentation relating to all non-liability insurance policies (eg: material damage)	Limitation Act 1980, RGLA 8.21

Property and Land Management

Guidelines for Document Retention and Disposal

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
6.12	Insurance Register	PERMANENT – retain securely	Summary of arrangements relating to insurance	Limitation Act 1980, RGLA 8.21
6.13	Liability Insurance Policies	Destroy 75 years after the terms of the policy have expired	Documentation relating to liability insurance policies (eg: public / employers liability)	None
6.14	Renewals	Destroy 5 years after the policy has been reviewed	Renewal information	Limitation Act 1980, RGLA 8.21
6.15	Payments	Destroy 7 years after the end of the financial year	Documents relating to payments to insurance claimants, claims handlers, brokers, insurers and legal providers	None
6.16	All risk schedules	Destroy once superseded		None

Health & Safety

Guidelines for Document Retention and Disposal

Ref. No.	Function Description	Retention Action	Examples of Records	Notes
7	Health & Safety			
	Guidance & Assessments			
7.1	Process to ensure safe systems of work	Retain until superseded or process ceases + 1 year	<ul style="list-style-type: none"> Standard Operating Procedures 	Common practice
7.2	Process to assess the level of risk	Destroy 3 years from last assessment	<ul style="list-style-type: none"> Risk assessment 	Statutory
7.3	Process that records injuries to adults	Destroy 3 years from closure	<ul style="list-style-type: none"> Accident books 	Statutory
7.4	Process that records injuries to children	Destroy 25 years from closure	<ul style="list-style-type: none"> Accident books 	Based on statutory
7.5	Health & Safety policies and guidance	PERMANENT – retain securely	<ul style="list-style-type: none"> Health & Safety corporate guidance, policies and standards 	None
7.6	Health & Safety inspections	PERMANENT – retain securely	<ul style="list-style-type: none"> Inspections of Sefton CVS premises to assess compliance with Health & Safety principles and regulations 	None
7.7	Incident / accident report forms	Adults 3½ years from date of incident Children – until their 22 nd birthday	Reports relating to incidents on Sefton CVS premises or involving Sefton CVS staff	Limitation Act 1980
7.8	Business Continuity Plan	Review annually and destroy when superseded	Documentation relating to planning for business continuity in the event of disaster or unforeseen event	None