



Wimblington & Stonea
Parish Council

Serving the community since 1894

Policy Document: Records Management

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Introduction

The Purpose of this document is to define and describe the Records Management Policy that has been adopted by Wimblington & Stonea Parish Council.

This policy document will be reviewed by members of Wimblington & Stonea Parish Council and updated or amended where necessary.

Overview

The guidelines set out in this document supports the Wimblington & Stonea Parish Council 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 Wimblington & Stonea Parish Council has in place arrangements for the retention and disposal of documents necessary for the adequate management of services in undertaking its responsibilities.

This policy details 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.

Wimblington & Stonea 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 a vital to support the work that Wimblington & Stonea Parish Council does and the services that we provide to our residents.

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' time and effort when retrieving information by reducing the amount of information that may be held unnecessarily.
- Ensure archival records that are of historical value are appropriately retained for the benefit of future generations.

Scope

For the purpose of this policy, 'documents' includes electronic and paper records.

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

Standards of Good Practice

Wimblington & Stonea Parish 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.
- Personal information will be retained in locked filing cabinets within the Parish Hall, access to these documents will only be by authorised personnel.
- Disclosure information will be retained in a locked cabinet in the Parish Hall.
- 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 locked filing cabinet.

Breach of Policy and Standards

Any employee who knowingly or recklessly contravenes any instruction contained in, or following from, this Policy may, depending on the circumstances of the case, be subject to disciplinary action, which may result in dismissal.

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

Roles and Responsibilities

The Wimblington & Stonea Parish Council Clerk/RFO has responsibility for implementation of the policy under delegation of Wimblington & Stonea Parish Council.

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

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.

The attached Appendix shows the minimum requirements for the retention of documents as determined by Wimblington & Stonea 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 the attached Appendix.

Disposal

Documents/data no longer required by Wimblington & Stonea Parish Council for administrative purposes must be finely shredded/disposed of through specialist waste removal contractors and deleted entirely and securely from the Wimblington & Stonea Parish Council computer system.

Appendix A - Document Retention Timescales

Document	Retention Period	Not Held
Finance		
Financial Published 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	X
Purchase Orders	6 years	X
Cheque Payment Listings (Invoices received)	6 years	X
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	
Cancelled Expenditure cheques	3 years	
Bank Reconciliation	3 years	
Cheques presented/drawn on the Council bank accounts	3 years	
Grant/Funding Applications & Claims	3 years	
Precept Forms	Indefinitely	
Internal Audit Plans/Reports	3 years	
Fees and Charges Schedules	6 years	
Loans and Investment Records; temporary loan receipts	10 years (after redemption of loan)	

Document	Retention Period	Not Held
Current and expired insurance contracts and policies indefinitely Insurance records and claims	10 years (or as long as it is possible for a claim to be made under them)	
VAT records, input and output	10 years	
Final accounts of contracts executed under hand or seal	12 years from completion of contract	
Personnel/Employment		
Unsuccessful application forms	1 month after closing date	
Unsuccessful reference requests	1 month after closing date	
Successful application forms and CVs	For duration of employment + 1 year	
References received	For duration of employment + 1 years	
Statutory sick records, pay, calculations, certificates etc.	For duration of employment + 1 years	
Annual leave records	For duration of employment + 1 years	
Unpaid leave/special leave	For duration of employment + 1 years	
Annual appraisal/assessment records	Current year and previous 2 years	
Time Control Records	2 years	
Disclosure and Barring checks	6 months	X
Employee Personnel files, training records, discipline and grievance records and working time records	1 year after employment ceases	
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	
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	

Document	Retention Period	Not Held
Accident books, records and reports	3 years from date of last entry (If a child or young adult is involved, then until the person reaches the age of 21	
Redundancy records	6 years from the date of redundancy	
Corporate		
All Wimblington Parish Council minutes including minutes of committees, sub-committee meetings and any working group minutes	Indefinitely and archived after two years	
Policies and procedures	Until updated or reviewed	
Asset management records	Indefinitely	
Internal audit records	6 years	
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 registration documents etc)	2 years after vehicle disposed of	X
Allotment application forms	Length of Tenancy + 2 years	X
Allotment agreements	Length of Tenancy + 6 years	
Pre-tender qualification document, summary list of expression of interest received, a summary of any financial or technical evaluation supplied with the expressions of interest Initial application	1 year	
Successful tender documentation Life of contract	6 years from date of final payment	
Unsuccessful tender documentation	Until final payment of contract let is made	
Deeds of land and property	Indefinitely	
Land and property rental agreements	6 years after expiry of the Agreement	
Property evaluation lists	Indefinitely	
Lease agreements, variation and valuation queries	12 years after the expiry of the agreement	

Document	Retention Period	Not Held
Documentation referring to externally funded projects	6 years	
Booking diaries	3 years	
Premises License applications	Indefinitely	
Health & Safety		
Health and Safety Accident books and records	3 years after the date of the last entry (unless an 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 the age of 21.	
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	
Asbestos records for premises/property including survey and removal records	40 years	
Parks and play area inspection reports	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 general 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	
Other		
Hard copy routine correspondence	File management – retain until matter dealt with; maximum period 6 months. Where Wimblington Parish Council believes that it is necessary to keep correspondence for an increased length of time, it will redact personal data from the correspondence.	

Document	Retention Period	Not Held
Electronic routine correspondence	File management – retain until matter dealt with; maximum period 6 months. Where Wimblington Parish Council believes that it is necessary to keep correspondence for an increased length of time, it will redact personal data from the correspondence.	
Requests under the Freedom of Information Act 2000	File management – retain until matter dealt with plus 6 months. Where Wimblington Parish Council believes that it is necessary to keep correspondence for an increased length of time, it will redact personal data from the correspondence.	
Planning Applications	Recommendations in connection with relevant planning applications are recorded in the minutes which are retained indefinitely. Correspondence (both hard copy and electronic) received in connection with planning applications will be retained in accordance with the routine documents/correspondence policy noted above. Where an application is refused by the local planning authority, the application will be retained until the period within which an appeal can be made has expired.	