

WATER MANAGEMENT ALLIANCE

GOVERNANCE

DOCUMENT RETENTION & DESTRUCTION POLICY

Water Management Alliance

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This policy specifies how important documents should be retained, protected and eligible for destruction (hardcopies, e-mail & attachments, online or other media). All Boards in the Water Management Alliance subscribe to this policy.

Document Retention / Destruction Policy

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Document Retention / Destruction Policy

1. INTRODUCTION

This policy specifies how important documents (hardcopy, e-mails & attachments, online or other media) should be retained, protected and when or if they become eligible for destruction. This policy applies to all the Drainage Boards within the Water Management Alliance group

2. THIS DOCUMENT HAS BEEN SET OUT IN COLUMNS:

1	Record	Describes the kind of files and documents that the WMA uses.
2	Legislation/Guidance	Information about the actual law or the area of law that is appropriate for such records. There is not always a law setting out a retention period; in such instances it is guidance, departmental policy or usage which dictates the retention period. RGLA means retention Guidelines for Local Authorities issued by the Records Management Society .
3	Retention Period	Retention Period describes minimum retention periods. Where there is no clear indication as to when this time should be counted from it should be assumed that the Retention Period is from the time the file/record is closed. All retention periods quoted as legislative requirements are minimum periods for retention only.
4	Retention Policy	Retention Policy describes what should be done at the end of the retention period; destroy or review it to see if it should be held for longer.
5	Location	Location describes where the records should spend their Retention Period and where you may move them to after they have been reviewed.

3. DOCUMENT RETENTION

Documents will be retained for varying periods of time, depending on the prevailing legislation and/or guidelines as detailed in the schedule within this policy document. At least one copy of each document will be retained according to the schedule.

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4. DOCUMENT PROTECTION

Documents (hardcopy, online or other media) will be stored in a protected environment for the duration of the Document Retention Schedule. Computer backup media will be included.

5. PERSONAL INFORMATION

All records which contain personal information should be stored, transported and disposed of in a secure way; in accordance with the Data Protection Policy.

6. LITIGATION

Where Records are subject to litigation, they must not be destroyed until any known threat of litigation has been resolved.

7. DOCUMENT DESTRUCTION

Files and electronic information should be destroyed in a manner which prevents their reconstitution. Backup copies stored on alternative media (server/microfilm/paper) should also be destroyed. This is vital to ensure compliance with the requirements of Data Protection and Freedom of Information legislation. The two most acceptable methods of disposal are via reputable disposable companies or by shredding. A disposal company will have their own procedures for preparation, collection and transportation of records which should be complied with (e.g. proper sacks, correctly tied and labelled appropriately). Incineration is not an appropriate method of destruction as some records may not be totally destroyed. Similarly, tipping or landfills should be avoided as methods of disposal. Details should be retained to identify which records have been destroyed.

8. STANDARD OPERATING PROCEDURE (SOP)

There are some records that do not need to be kept at all; Standard Operating Procedure defines types of records which staff may routinely destroy in the normal course of business. However, the retention and disposal schedule must still contain reference and instructions referring to them. SOP usually applies to information that is duplicated, unimportant or only of short-term facilitative value.

Unimportant records or information include:

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- 'with compliments' slips
- catalogues and trade journals • telephone message slips
- non-acceptance of invitations
- trivial electronic mail messages or notes that are not related to WMA business
- requests for stock information such as maps, plans or advertising material
- out-of-date distribution lists
- working papers which lead to a final report

Duplicated and superseded material such as stationery, manuals, drafts, forms, address books and reference copies of annual reports may be destroyed under SOP. Electronic copies of documents where a hard copy has been printed and filed, and thermal paper facsimiles after making and filing a photocopy, are also covered.

9. REVIEW

This Guideline prescribes minimum and permanent retention periods. This guideline will also be reviewed at regular intervals.

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10. DEMOCRATIC PROCESS

Record	Legislation/Guidance	Retention Period	Retention Policy	Location
Electoral Register	RGLA / Common Practice	Permanent	Archivist to review	Rating Software
Ballot papers	Statutory	6 months from close of poll	Destroy	CEO Files
Consolidated returns of votes received	Statutory	6 months from close of election	Destroy	CEO Files
Board minutes	RGLA / Common Practice	Permanent	Archive after admin use has concluded	CEO Files
Board agenda and business papers	RGLA / Common Practice	Permanent	Archive after admin use has concluded	CEO Files
Board notice papers and proceedings	RGLA / Common Practice	Permanent	Archive after admin use has concluded	CEO Files
Committee minutes	RGLA / Common Practice	Permanent	Archive after admin use has concluded	CEO Files
Registers of delegations to Special Committees	RGLA / Common Practice	Permanent	Archive after admin use has concluded	CEO Files
Partnership, Agency & External bodies IDB do not own the record: Documents, Reports & Supporting papers	RGLA / Common Practice	3 years after last action	Destroy / review	IDB department related to group / partnership

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11. MANAGEMENT & ADMINISTRATION

Record	Legislation/Guidance	Retention Period	Retention Policy	Location
Corporate Plans	RGLA / Common Practice	Permanent	Archive after admin use has concluded	CEO Files
Strategic Plans	RGLA / Common Practice	Permanent	Archive after admin use has concluded	CEO Files
Business Plans	RGLA / Common Practice	Permanent	Archive after admin use has concluded	CEO Files
Annual Reports	RGLA / Common Practice	Permanent	Archive after admin use has concluded	CEO Files
Strategic management minutes	RGLA / Common Practice	Permanent	Archive after admin use has concluded	CEO Files
Statutory Returns Report to DEFRA	RGLA / Common Practice	7 years	Destroy	CEO Files
Disaster Recovery Plan	RGLA / Common Practice	Permanent	Archive after admin use has concluded	CEO Files
Policies & Procedures	RGLA / Common Practice	Permanent	Archive after admin use has concluded	CEO Files
Bye-laws	Common Practice	Permanent	Archive after admin use has concluded	CEO Files
Organisation Charts	RGLA / Common Practice	Permanent	Archive after admin use has concluded	CEO Files

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Asset Management Plan	RGLA / Common Practice	Permanent	Archive after admin has concluded	CEO Files
Rate Book & Land Movements Register	Common Practice	7 years	Archivist to review	Rating Software
Sealed Boundary Map	Common Practice	Permanent	Archive after admin use has concluded	Stored in Archive
Asset Register	Common Practice	Permanent	Archive after admin has concluded	Engineering Files
Register of Drainage Infrastructure	RGLA / Common Practice	Permanent	Archive after admin has concluded	Engineering Files
Environmental Licences Register	RGLA / Common Practice	Permanent	Archive after admin has concluded	Engineering Files
Planning/Byelaw Consent Register	RGLA / Common Practice	Permanent	Archivist to review	Archivist
Accession Register	RGLA / Common Practice	Permanent	Archivist to review	Archivist
Disposal Register	RGLA / Common Practice	Permanent	Archivist to review	Archivist
Nuisance Register	Common Practice	6 years	Archivist to review	General Files
Complaints Register	RGLA / Common Practice	Permanent	Archivist to review	General Files
Complaints correspondence	Common Practice	6 years	Archivist to review	General Files
Ombudsman correspondence	Common Practice	6 years	Archivist to review	General Files

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ISO 9001 & ISO 14001 meeting minutes	Common Practice	6 years	Archivist to review	General Files
Best Practice Meeting Minutes	Common Practice	6 years	Destroy	General Files
IDB Publications	Common Practice	Admin use	One copy to archive, remainder destroyed	General Files
Marketing materials	Common Practice	Permanent	Archivist to review after use	General Files

12. FINANCIAL RECORDS

Record	Legislation/Guidance	Retention Period	Retention Policy	Location
Consolidated annual reports	RGLA recommend permanent	7 years	Destroy	Finance Office
Consolidated financial statements	RGLA recommend permanent	7 years	Destroy	Finance Office
Financial statements & Published Accounts	RGLA recommend permanent	7 years	Destroy	Finance Office
General Ledger	RGLA recommend permanent	7 years	Destroy	Finance Office
Operating Statements	RGLA recommend permanent	7 years	Destroy	Finance Office
Monthly & Quarterly Financial Reports & Statements	Common Practice	7 years	Destroy	Finance Office
Monthly accrual statements	Common Practice	7 years	Destroy	Finance Office
Cash flow statements	Common Practice	7 years	Destroy	Finance Office

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Creditor & Debtor listings & reports	Common Practice	7 years	Destroy	Finance Office
Appointments & delegations	Statutory	7 years after financial year end	Destroy	Finance Office
Audit investigations	Statutory	7 years after financial year end	Destroy	Finance Office
Arrangements for the provision of goods and/or services	Statutory	7 years after financial year end	Destroy	Finance Office
Business expenses documents	Statutory - 6 years	7 years	Destroy	Finance Office
Work Orders	Statutory - 6 years	7 years	Destroy	Finance Office
Invoices	Statutory - 6 years	7 years	Destroy	Finance Office
Credit card statements	Statutory - 6 years	7 years	Destroy	Finance Office
Petty cash receipts/documents	Statutory - 6 years	7 years	Destroy	Finance Office
Cheque counterfoils	Statutory - 6 years	7 years	Destroy	Finance Office
Bank Statements	Statutory - 6 years	7 years	Destroy	Finance Office
Subsidiary ledgers	Statutory - 6 years	7 years	Destroy	Finance Office
Journals	Statutory - 6 years	7 years	Destroy	Finance Office
Vouchers	Statutory - 6 years	7 years	Destroy	Finance Office
Bank Reconciliations	Common practice	7 years	Destroy	Finance Office
Annual Rate Estimates	Common Practice - permanent	7 years	Destroy	Finance Office

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Draft budget, estimates & departmental budgets	Common practice - 2 years after adoption	7 years	Destroy	Finance Office
Loan Files	Statutory	7 years after repayment	Destroy	Finance Office
Loan Registers	RGLA / Common	Permanent	Destroy	Finance Office

13. TAX & PAYROLL RECORDS

Record	Legislation/Guidance	Retention Period	Retention Policy	Location
Taxation Records & HMRC Returns	Statutory - 5 years	7 years	Destroy	Finance Office
Motor vehicle logs (insurance & tax)	Statutory - 5 years	7 years	Destroy	Finance Office
Fringe Benefits Tax (P11D)	Statutory - 5 years	7 years	Destroy	Finance Office
NI records	RGLA / Common Practice	2 years after employment ends	Destroy	Finance Office
Payroll registers (deduction authorities & disbursement)	Statutory	7 years	Destroy	Finance Office
Employee pay & tax records	Statutory	7 years	Destroy	Finance Office

14. HUMAN RESOURCES

Record	Legislation/Guidance	Retention Period	Retention Policy	Location
Employee Register	RGLA / Common Practice	Permanent	Archivist for review	Finance Office

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Register of Personnel Files	RGLA / Common Practice	Permanent	Archivist for review	CEO Files
Superannuation history card	RGLA / Common Practice	Permanent	Archivist for review	Finance Office
Salary Master Record	RGLA / Common Practice	Permanent	Archivist for review	Finance Office
Letter of appointment & acceptance	RGLA / Common Practice	6 years from last pension payment	Destroy	CEO Files
Job descriptions, performance goals & appraisals	RGLA / Common Practice	6 years from last pension payment	Destroy	CEO Files
Employee applications and resumes	RGLA / Common Practice	6 years from last pension payment	Destroy	CEO Files
Promotions, demotions, letter of reprimand, termination	RGLA / Common Practice	6 years from last pension payment	Destroy	CEO Files
Declarations of pecuniary interests	Localism Act 2011 (Ss 29-34) and The Relevant Authorities (Disclosable Pecuniary interests) Regulations 2012	6 years from last pension payment	Destroy	CEO Files
Employment Contract	RGLA / Common Practice	6 years from last pension payment	Destroy	CEO Files
Employee & Industrial Relations documents	RGLA / Common Practice	Permanent	Archivist for review	CEO Files
Occupational Health, adjustment to work place, restrictions & recommendations	RGLA / Common Practice	75 years after DOB	Destroy	CEO Files

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Monitoring Staff leave & attendance records	Common Practice	2 years after action completed	Destroy	CEO Files
Time Sheets	Common Practice	7 years	Destroy	CEO Files
OH & S Training Register	RGLA / Common Practice	50 years after training complete	Destroy	CEO Files
Training Contracts, Certificates & Records, Awards & Exam Results	RGLA / Common Practice	7 years after completion	Archivist to review	CEO Files

15. INSURANCE RECORDS

Record	Legislation/Guidance	Retention Period	Retention Policy	Location
Insurance register	RGLA	Permanent	Archivist to review	CEO Files
Employers Liability & Public Liability Insurance Certificates	RGLA	Permanent	Archivist to review	CEO Files
Insurance policies	RGLA	5 years after renewal	Destroy	CEO Files
Insurance policies renewal records & correspondence	RGLA	5 years after renewal	Destroy	CEO Files
Insurance claims records & correspondence	RGLA	7 years after conclusion	Destroy	CEO Files

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16. LEGAL & CONTRACTS

Record	Legislation/Guidance	Retention Period	Retention Policy	Location
Litigation Correspondence	Common Practice	Permanent	Archive after admin use has concluded	CEO Files
Litigation Advice	Common Practice	Permanent	Archive after admin use has concluded	CEO Files
Orders	Common Practice	Permanent	Archive after admin use has concluded	CEO Files
Sealed documents & Seal Book	Common Practice	Permanent	Archive after admin use has concluded	CEO Files
Title documents	Common Practice	Permanent	Archive after admin use has concluded	CEO Files
Conveyance files	Statutory	Permanent	Archive after admin use has concluded	CEO Files
Ordinary Contracts	Statutory	6 years after expiry	Archivist to review	General Files
Contracts under seal	Statutory	12 years after expiry	Archivist to review	CEO Files
Successful Tender quotations & related documents (Ordinary contracts)	Statutory	6 years after expiry	Archivist to review	General File
Successful Tender quotations & related documents (Contracts Under Seal)	Statutory	12 years after expiry	Archivist to review	CEO Files

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Unsuccessful Tender documents	RGLA / Common Practice	1 year after start of contract	Destroy	General Files
Service Level Agreements	RGLA / Common Practice	2 years after contract expiry	Destroy	General Files

17. PROPERTY, LAND, TRANSPORT AND PLANT MANAGEMENT

Record	Legislation/Guidance	Retention Period	Retention Policy	Location
Property or Land sales (all related documents)	Common Practice	Permanent	Archive after admin use has concluded	Planning File
Leases and Contracts	Common Practice	7 years after disposal of vehicle/plant	Destroy	CEO Files
Quotes and Approvals	Common Practice	7 years after disposal of vehicle/plant	Destroy	General Files
Allocations & authorisation of vehicles	Common Practice	7 years after disposal of vehicle/plant	Destroy	General Files
Maintenance records	Common Practice	7 years after disposal of vehicle/plant	Destroy	General Files
Vehicle usage log	Common Practice	7 years after disposal of vehicle/plant	Destroy	General Files
Equipment Inspection records	Statutory	6 years	Destroy	General Files

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18. HEALTH & SAFETY

Record	Legislation/Guidance	Retention Period	Retention Policy	Location
Health & Safety at work policy	Common Practice	Permanent	Archive after admin use has concluded	General Files
Risk assessment	Statutory	3 years from the last assessment	Destroy	General Files
Accident & Near Misses Book	Statutory	3 years from closure	Destroy	Area Depot / Office
Emergency Response Plan	Common Practice	Permanent	Archivist to review	CEO Files
Visitors Log Book	Common Practice	1 year	Destroy	Area Offices

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