

Records Management

Records management is about making sure that we manage our records to meet the operational, legislative, regulatory and accountability requirements.

Good records management will

1. Ensure that we can find the information we need at the time we need it
2. Support decision making
3. Provide evidence of our work
4. Ensure that we are complying with legal requirements to keep records and destroy them systematically when appropriate Enable us to provide information readily in compliance with access to information legislation requests such as the FOIA 2012.

This will enable us to identify records we may wish to keep permanently and also to prevent the premature disposal of records that need to be retained for a specified period to satisfy operational, legislative, regulatory and accountability requirements. Also, it will enable us to provide consistency for disposal of records nor required permanently.

Legal and contracts

Function Description	Retention Action	Examples of Records
Contracts	Retain for 7 years	Major Contracts Minor Works Contracts Services Consultancy Agency contracts

Human Resource

Function Description	Retention Action	Examples of Records
The process of administering employees to ensure entitlements & obligations are in accordance with agreed employment requirements	Destroy 7 years after termination of employment	Personal & payroll records
Processing of disciplinary and grievance investigations where proved	6 months 1 year 2 years 1 year	Oral warning Written warning Final warning Grievance from resolution
Processing of disciplinary and grievance investigations where unfounded	Immediate destruction	Disciplinary
Sickness records	Destroy 7 years after date of certificate	Certification of absence forms, self certification forms, doctors certificates and all sickness schedules
Absence returns	Destroy 3 years after date of absence	
Recruitment	Advertisements 1 year from appointment	Advertisements

	Application forms – successful candidate, duration of employment, unsuccessful candidate, 6 months from date of appointment	
Staff appraisal	Destroy 5 years after actions are completed	Performance plans, personal development plans
Training and development	Individual course records destroyed 7 years after termination of employment	Training register
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Financial Management

Function Description	Retention Action	Examples of Records
Accounts	Transfer to archive and retain for minimum 7 years	Statutory accounts, management accounts and working papers
Budget preparation	Retain for minimum 3 years	Detailed working papers
Expenditure & income	Retain for 7 years	Bank statements, cash books, cheque requests, cheque counterfoils, direct debit mandates, bank reconciliations
Sales invoices	Retain for 7 years	Prime evidence of invoice raising
Purchase invoices	Retain for 7 years	Invoices received and authorised for payment
Purchase orders	Retain for 7 years	Purchase orders in printed and electronic format
Evidence of goods received	Retain for 7 years	Goods received notes attached to authorised purchase invoice and stores records
Other finance / admin records	Retain for 7 years	Goods received notes attached to authorised purchase invoice and
Other finance / admin records	Retain for 7 years	Minutes and agreed actions of meetings held with the Board, representatives of the shareholders, insurance brokers, bank, external auditors and government agencies
Computer systems	Retain for life of system	Hardware descriptions, software descriptions and files itemising the decision making process

Environment, Health and Safety, Operations, Engineering and Waste Departments

The following matrix covers the records management relating to these departments

NAME	MEDIA TYPE	SOURCE	MAINTAINED	DURATION STORED	RESPONSIBLE PERSON
PLANNING CONSENTS	Paper	External	As required	3 years min	EH&S
EPR PERMIT	Both	External	As required	3 years min	EH&S
WATER DICHARGE CONSENTS	Both	External	As required	3 years min	Engineering
Discharge to sewer	Both	External	As required	3 years min	Engineering
RIVER ABSTRACTION CONSENTS	Both	External	As required	3 years min	Engineering
COOLING TOWER REGISTRATION	Both	External	As required	3 years min	Engineering
NON-CONTINUOUS EMISSION MONITORING	Both	External	As required	3 years min	Engineering
CEM'S CALIBRATION DATA	Both	External	As required	3 years min	Engineering
EA PERMIT QUARTERLY / ANNUAL RETURNS	Both	External	As required	3 years min	EH&S
Third Party Audits	Both	External	12 month review	3 years min	EH&S
Internal Audits	Both	External	12 month review	3 years min	EH&S
Noise Surveys	Both	External	12 month review	3 years min	EH&S
Dust Surveys	Both	External	12 month review	3 years min	EH&S
Fume Surveys	Both	External	12 month review	3 years min	EH&S
LEV Surveys	Both	External	12 month review	3 years min	EH&S
Water Treatment	Paper	External	12 month review	3 years min	Operations
Electrical Tests	Paper	External	As required	3 years min	Engineering
PAT Testing	Paper	External	12 month review	3 years min	Engineering
Risk Assessments	Both	Internal	12 month review	3 years min	EH&S / Dept Managers
Aspect/Impacts	Electronic	Internal	12 month review	3 years min	EH&S
Accidents	Electronic	Internal	1 month review	3 years min	EH&S
Incidents	Electronic	Both	1 month review	3 years min	EH&S
Corrective Actions	Electronic	Both	As required	3 years min	EH&S
WASTE MANAGMENT	Both	External	12 month review	3 years min	Waste
Waste Transfer Notes	Paper	External	As required	3 years min	Admin
Waste Inspection Questionnaires	Both	Internal	As required	3 years min	Admin
Resource Use (KPI's)	Electronic	Both	1 month review	3 years min	EH&S
Training Records	Both	Both	As required	3 years min	Admin
Packaging Recovery	Both	Internal	12 M review	4 YEARS MIN	Admin

Notes					
Emergency Equip	Paper	External	6 M review	3 years min	EH&S
Complaints	Both	Both	AS required	3 years min	EH&S
Communications	Both	Both	AS required	3 years min	EH&S
Alarm Tests	paper	Both	Weekly Rev	3 years min	Operations
EHS Budget	Electronic	Internal	6 M REVIEW	3 years min	EH&S
EMS Annual Management Review	Both	Both	AS required	3 years min	EH&S
Meeting Minutes	Electronic	Internal	1 M REVIEW	3 years min	EH&S
Meeting Materials	Electronic	Internal	1 M REVIEW	3 years min	EH&S
Purchase Orders	Electronic	Internal	AS required	3 years min	EH&S
Egy Lighting Tests	paper	Both	1 M REVIEW	3 years min	Engineering
Maintenance (MMS) Cards	Electronic	Internal	AS required	3 years min	Engineering
Legislation	Electronic	External	AS required	AS Applicable	EH&S
Projects	Both	Internal	AS required	3 years min	EH&S

Certificate of disposal of records

Once records have reached the end of their retention period, the following 2 declarations are made :-

Declaration 1

I confirm the records as listed have reached their due date for disposal and are not the subject of any statutory request for information or litigation proceedings as at today's date. I approve the disposal of these records.

Signed

Print name

Designation

Date

Declaration 2

I certify that these records have been destroyed (by shredding / by incineration*) today *delete as appropriate

Signed

Print name

Designation

Date