



Document Management Policy

Introduction

- 1.1. The Snowdonia National Park Authority considers effective record management to be a key administrative function. It maintains records of its own internal functions and activities, as well as information about the National Park, its environment and its heritage. This policy has been prepared to ensure that paper, photographic and electronic data are kept in good condition, are properly archived and remain accessible and in good condition.

Scope

- 1.2. This policy aims to ensure that records are managed effectively throughout the organisation in accordance with professional principles and specified legislations and guidelines (see appendix 1). It applies to all records of the Snowdonia National Park Authority. A record is any recorded information regardless of medium, which is created, collected, processed, used, stored and / or disposed of by the Snowdonia National Park Authority.

Policy Statement

- 1.3. The aim of the policy is to define a framework for managing records to ensure that the Authority:
 - creates and captures authentic and reliable records to demonstrate evidence, accountability and information about its decisions and activities;
 - facilitates auditing and protects our legal and other rights;
 - maintains records securely and preserves access to them;
 - disposes appropriately the records that are no longer required;
 - protects vital records, which it needs in order to function effectively;
 - maintains records to meet the Authority's business needs;
 - addresses the needs of the Authority's stakeholders, including the public, employees and the Record Office;
 - conforms to any legal and statutory requirements relating to record keeping; and
 - complies with government directives.

Identification of Roles and Responsibilities

- 1.4. The Authority is responsible for approving a framework for managing and overseeing its duties in relation to records management as set out in this policy.

- 1.5. Corporate Services will be responsible for overseeing the implementation of this policy.
- 1.6. Heads of Service are responsible for the management of their records, in accordance with this policy, and for ensuring that all staff are aware of their responsibilities.
- 1.7. Every member of staff within this Authority has a responsibility for implementing effective record keeping systems in line with the requirements of this policy. This includes ensuring that records are kept in accordance with the data protection principles outlined in the General Data Protection Regulations 2016.
- 1.8. Heads of Service are also responsible for identifying any training needs for their staff with regards to record keeping and data protection. Once identified, Heads of Service should liaise with the Authority's Computer Support Officer (who has specific responsibility for data protection) regarding identifying and arranging the most suitable data protection training for staff.

Record Retention and Disposal

- 1.9. With increasing public access to our records, it is important that disposal of records happens as part of a managed process and is adequately documented. Following best practice guidance a comprehensive retention and disposal schedule has been drawn up for all the Authority's files.
- 1.10. Most information has been classified under the general headings listed below. Some documents classified under individual headings will also form part of an European Grant Funding Project. In such cases, the retention periods set for European Grant Funding will override individual document retention periods set.

Type of Information	Retention Action
Committee Meetings Agenda, Minutes, Reports, Register of Delegation to Special Committees	Permanent
Partnership, Agency, Liaison and Other External Meetings Terms of Reference, Agenda, Minutes, Reports, Consultation Documents	If SNPA owns the record: Permanent If SNPA does not own the record: Destroy 3 years after last action
Corporate Planning and Reporting Corporate Plans, Strategy Plans, Business Plans, Annual Reports Management Team Minutes Section Heads Minutes Departmental Minutes	Permanent Permanent Destroy 3 years from last action Destroy 3 years from last action

Statutory Returns to Welsh Government etc.	Destroy 7 years from closure
Copies of Policies, Strategies and Plans	Permanent
Records Relating to Policy Implementation and Development, Monitoring and Reviewing, including public consultations.	Destroy 5 years after last action for major policies and plans Destroy 1 year after last action for minor policies and plans
Enquiries and Complaints Complaints Register (Summary of complaints)	Destroy 10 years after last action.
Full Complaint File including Ombudsman Decisions	Destroy 6 years after last action.
Quality and Performance Management The process of monitoring Objectives, Performance Indicators, Internal Audits, Spending Reviews	Destroy 5 years after last action
Final Reports	Permanent
Media Relations Press Cuttings, Media Reports relating to the Authority	Permanent
Marketing: The process of developing and promotion of the Authority's campaigns and events	7 years after end of event (1 copy of all published work kept permanently)
Legal and Contracts Legal Advice	Destroy 3 years after case closed Major Litigation / Precedent – review after 15 years
Litigation (case files etc)	Destroy 7 years after last action Major Litigation – review after 15 years
Agreements: Concordat between Organisations	Destroy 6 years after agreement expires
Contracts and Tendering: Opening Notice, Tender Envelope, Unsuccessful Tender Documents,	Destroy 1 year after start of contract
Post Tender Negotiation Minutes	Destroy 1 year after contract expired

Tender Specification, Evaluation of Tender, Successful Tender Documents, Management and Amendment of Contract	Ordinary Contracts: Destroy 6 years after the terms of the contract have expired Contracts Under Seal: Destroy 12 years after the terms of the contract have expired
Service Level Agreements, Compliance and Performance Reports	Destroy 7 years after terms of contract expired
Tenancy Agreements	Ordinary Tenancy: Destroy 7 years after the terms of the contract have expired Tenancy Under Seal: Destroy 15 years after the terms of the contract have expired
Conveyance (process of changing ownership of land or property)	Destroy 12 years after closure
Prosecution / Enforcement (process)	Destroy 7 years from last action
Title Deeds, Leases, Easements, Section 106 Agreements, Enforcement Notices, Tree Preservation Orders etc.	Permanent
Personnel Administration	
Employment Register: Name, DOB, Date of appointment, Work history details, Position / Designation (Permanent and Temporary Staff)	Permanent
Superannuation Records	6 years after last pension payment
Disciplinary Records	Oral / informal warning – 6 months Written warning – 12 months Final written warning – 12 months Unfounded allegations – destroy upon closure of investigation
Termination: The process of termination of staff through voluntary and compulsory redundancy, dismissal and retirement	Destroy 6 years after termination
Standard Training Register	Destroy 7 years after course complete or is superseded

Individual course assessments, certificates etc.	Destroy 1 year after course is superseded
All other Personnel Records	Destroy 7 years after termination If related to Objective 1 funding: 15 years
Recruitment: Advertisements, Applications, Referee Reports, Interview Reports, Unsuccessful Applicants	Destroy 1 year after recruitment has been finalised
Appointment of Statutory Officers (summary form)	Permanent
Recruitment of Statutory Officers: Advertisements, Applications, Referee Reports, Interview Reports, Unsuccessful Applicants	Destroy 2 years after date of appointment
Accounts and Audit	
Annual Corporate Financial Reporting	Permanent
Identification of the receipt, expenditure and write offs of public monies e.g. Purchase Orders, Invoices, Credit card statements, Cash Books, Receipts	Destroy 7 years after the end of the financial year
Accountable processes relating to payment of employees e.g. Authority sheets, Payroll deduction authorities, Employee pay records, Employee taxation records	Destroy 7 years after the end of the financial year
Annual Budgets: Final version Process of developing annual budget	Permanent Destroy 2 years after budget is adopted
Property and Land Management	
Asset and Lease Register	Permanent
Management of the Acquisition and Disposal Process	Retain for life of property plus 15 years. Buildings and Estates of Special Interest – permanent
Maintenance Schedules and Management of Properties	Retain for life of property plus 5 years. Buildings and Estates of Special Interest – permanent

<p>Insurance Insurance Register</p> <p>Insurance Policies, Claims Records, Renewal Records and Correspondence</p>	<p>Permanent</p> <p>Destroy 7 years after all obligations/entitlements are concluded</p>
<p>Health and Safety Accident Books</p> <p>Risk Assessments</p> <p>Occupational Health & Safety Training Register</p> <p>Occupational Health & Safety Records</p>	<p>Destroy 3 years after closure</p> <p>Destroy 3 years from last assessment</p> <p>Destroy 50 years after training completed</p> <p>Destroy 75 years after DOB</p>
<p>Planning Eryri Local Development Plan</p> <p>Consultation for Development Plan: Consultation Documents, Inquiries and Objections, Public Inquiry Documents</p>	<p>Permanent</p> <p>Review after 15 years / Keep Sample Permanently</p>
<p>Records of: Sites and Monuments, Ecological, Species, Historical Listed Buildings, Definitive Map</p> <p>Planning Applications Register</p> <p>Land Use Surveys, Mineral Register, Successful Waste Planning Applications, Successful Mineral Planning Applications</p>	<p>Permanent</p> <p>Permanent</p> <p>Permanent</p>
<p>The process of approving building applications in relation to listed or significant buildings</p> <p>The process of approving building applications, for all other buildings</p> <p>The process of enforcing building or land regulations</p> <p>Enforcement Register</p>	<p>Permanent</p> <p>Destroy 15 years after work completed</p> <p>Destroy 3 years after compliance with enforcement notice</p> <p>Permanent</p>
<p>Conservation Initiatives and Projects (if grant funded, refer to funder requirements)</p>	<p>Destroy 15 years after end of initiative or project</p>

Tree Preservation Orders	Permanent
<p>Grants Grant Applications to and from Authority</p> <p>Grant Scheme Information (for grants run by the Authority) e.g. application forms, publicity material etc.</p> <p>Register of Successful Grants from Authority</p>	<p>Destroy 15 years after end of grant</p> <p>Destroy once schemes have ended</p> <p>Permanent</p>
<p>Fleet Vehicles Acquisition and disposal of vehicles through lease of purchase</p> <p>The process of managing allocation & maintenance of vehicles</p> <p>Driver Log Books</p> <p>Vehicle usage / mileage reports</p>	<p>Destroy 7 years after the disposal of the vehicle</p> <p>Destroy 7 years after the disposal of the vehicle</p> <p>Destroy 7 years after closure</p> <p>Destroy 3 years after the disposal of the vehicle</p>
<p>European Funding 5B Scheme, Objective 1 Projects etc.</p> <p>All documentation relating to above projects.</p> <p>CAN Projects</p>	<p>Retain until 2014. Destroy dates cannot be set after this date until official written confirmation given by funders.</p> <p>Retain until 2024. Destroy dates cannot be set after this date until official written confirmation given by funders.</p>

New Files

- 1.11. When a request is received by the filing section to open a new file, a form will need to be completed detailing review date for file closure. This form will be kept at the front of each file. Every time the file is used, the date is logged on the form.
- 1.12. When a file is closed a retention / destruction date will be placed on the file and it will be transferred to the storage unit in the Wardens Centre, Penrhyndeudraeth.
- 1.13. When a file is scheduled for destruction, it will firstly be reviewed by the appropriate section head or management team member, who will need to confirm this action.

- 1.14. A full disposal record will be kept by the filing section.
- 1.15. Records selected for permanent preservation are identified and archived as soon as administrative use is concluded.

Files Currently in the System

- 1.16. The files currently in the system will be closed and labelled following the Authority's retention and disposal schedule. When a file is scheduled for destruction, it will firstly be reviewed by the appropriate section head or management team member, who will need to confirm this action.

Access

- 1.17. To comply with legislation, the Authority needs to ensure that decisions regarding access to the records are documented so that they are consistent, and can be explained and referred to if call upon. To this end, Heads of Service must ensure that all staff are made aware of the arrangements for allowing access to certain types of information, as outlined in the Policy on Implementing the Publication Scheme.

Electronic Documents and E-mails

- 1.18. The requirements of this policy applies to all electronic documents including e-mail correspondence, as well as paper files. The same retention periods are applicable in all circumstances.

Review of the Policy

- 1.19. This policy will be reviewed in every 3 years, or sooner if changes in legislation come into force.

Appendix 1: Standards and Legislation

Public records Act 1958 and 1967
Local Government (Records) Act 1962
Local Government Act 1972
Local Government (Access to Information) Act 1985
Data Protection Act 1998
Freedom of Information Act 2000
Environmental Information Regulations 2004
The General Data Protection Regulation 2016
Data Protection Act 2018