

Essex County Council

Corporate Retention Schedule

Version	5.0
Last Reviewed	April 2016
Next Review	April 2017

Introduction

The Essex County Council Corporate Retention Schedule attempts to identify processes which records support, rather than identifying individual types of records. This is for two reasons:

- To make the retention period apply to all records independent of any format, i.e. the same rules apply to a paper file, an e-mail or another electronic document
- To allow flexibility in developing the schedule to cover new processes and amend existing ones over time.

The Schedule is intended to cover the lifecycle of records and information from creation through to destruction or permanent preservation.

Records intended for destruction under the Schedule may be destroyed in accordance with the provisions of the Schedule. 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.

Records for permanent preservation should be passed to the Essex Record Office via the Records Management Service

Limitation of Scope

Very few types of records have specified time periods for retention in law or in official government guidance. Where such advice exists it is included in this Schedule. Where advice does not exist, it is up to ECC to decide how long it wishes to retain records. This Schedule gathers together retention criteria from a comprehensive best practice review of a wide range of local authorities across the country. It is approved by the The National Archives which advises government on all record keeping issues.

Objectives of the Retention Guidelines

The aims of the Guideline are to:

- Prevent the premature destruction of records that need to be retained for a specified period to satisfy legal, financial and other requirements of public administration
- Provide consistency for the destruction of those records not required permanently after specified periods in order to reduce the costs of unnecessary storage
- Promote improved Records Management practices within ECC which gives the public confidence that when information is destroyed it is done so according to well-considered rules.
- Assist in identifying records that may be worth preserving permanently as part of the authority's archives

Transfer of Records to Essex Record Office

Records identified in this schedule as 'permanent' are marked 'Offer to Archivist'. The Archivist may choose to select a sample of the records for permanent preservation in the archives; the remainder should be destroyed as specified in the Schedule. The sample may be random, selective or purposeful.

'Offer to Archivist for review' is used to indicate record classes where the Archivist will not usually be interested in retaining the class of records, but may wish to retain those concerning high profile or controversial policies/projects.

Records no longer required for administrative use may still retain sensitive information. The Archivist should be informed of sensitivity at the time of transfer of the material to the archives, and an appropriate closure period agreed. The closure period should comply with Freedom of Information legislation and any internal policy.

The Data Protection Act provides an exemption for information about identifiable living individuals that is held for research, statistical or historical purposes to be held indefinitely, provided specific requirements are met. It is the responsibility of the Archivist to ensure that this is so.

Records designated as being of interest to ERO should be sent in the first instance to the Records Management Service.



Destruction of Records

Whenever there is the possibility of litigation, the records and information that are likely to be affected should not be amended or disposed of until the threat of litigation has been removed.

Records that are currently (or likely to be in the future) the subject of a Freedom of Information, Data Protection, Environmental Information Regulations etc official request or appeal, then it must not be destroyed until that request or appeal has been completed. To knowingly destroy a record when it is subject to a request/ complaint is an offence.

General and Miscellaneous records

There are some records that do not need to be kept at all that staff may routinely destroy in the normal course of business. However, the retention schedule must still contain reference and instructions referring to them.

This usually applies to information that is duplicated, unimportant or only of short-term value. Unimportant records or information include:

- '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 ECC 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 manuals, drafts, forms, address books and reference copies of annual reports may be destroyed under this rule. Electronic copies of documents where a hard copy has been printed and filed, and paper faxes after making and filing a photocopy, are also covered.

Reviewing the Schedule

The schedule will be regularly reviewed and updated to ensure that ECC is complying with the latest legal advice. These changes will be reflected as soon as possible. Changes will be highlighted so that staff can keep track and modify their practices accordingly. The Schedule will be subject to the timetable for general review of all Information Governance policies.

Explanation of Retention Guideline Headings

The Schedule is structured according to 3 levels of categorisation, reflecting the main functions of ECC and sub-categorising them into more specific groups.

Reference Number

Each identified function or entry has a unique reference number. This number can be applied to records when archiving to ensure that the correct retention period is applied.

Process

The Schedule provides a description of a process or an activity that the records support.

The Schedule may also include instructions or guidelines relating to weeding, sampling, instructions on disposal, information on duplication of record content in other classes and cross-references to other entries within the Schedule.

Retention Period

This field shows the length of time for which a record should be kept. This period (usually in years) can be applied from the date a record is created, when a record is closed or tied in to another specified activity. This field will also specify whether a type of record should be transferred to the Essex Record Office for permanent preservation.



Record Type

This section provides common examples of the type of records included within the particular function.

Source

This indicates if the retention action is common practice or statutory, plus any other useful information.

Glossary of terms

Administrative Use

When business use has ended or the file has been closed.

Closure

Example: Destroy 'x' years from closure

A record/ file should be closed when it ceases to be active. After closure no new papers/ information should be added to the record.

Records/ files can be closed when:

- They reach an unmanageable size (a new volume should be created)
- They cover 'x' years i.e. a maximum time period
- No more records have been added in 'x' years or another specified set period of time
- No action has taken place after 'x' period of time

Closure Period

Specified period of time during which the record is subject to restrictions on provision of access to staff and/or the public may be dictated by statutory requirements or by the authority's policy. Any closure period should comply with current legislation on access to local government information – including the Data Protection and Freedom of Information Acts.



Common Practice

Standard practice followed by those local authority records managers who are members of the Records Management Society.

Last Action

Destroy 'x' years after last action. Date of most recent addition/ amendment/ deletion of information

Permanent

Records that must be kept indefinitely (or for approximately 100 years) for legal and/or administrative purposes, and/or are of enduring value for historical research purposes and so suitable for transfer to the Essex Record Office

Contents

- Client Services9
- Democratic Processes17
- Financial Management.....19
- General24
- General Public Services28
- Human Resources33
- Infrastructure and Transport.....40
- Legal and Contracts42
- Management and Administration48
- Planning and Land Use52
- Property and Land Management.....55
- Statutory Services61

Client Services

Level 2	Level 3	ECC Ref	Process	Action	Record Types	Reason
Case Management	Admissions and Exclusions	C.1.7.1	Case Files (including appeals)	Destroy 25 years from last action	Appeal Files	Common practice
					Exclusion files	
Case Management	Children's Services	F1	Children in Need (who have not been adopted or looked after and who have not been the subject of a child protection inquiry)	Last entry + 35 years	Including: Files of unaccompanied minors and asylum seekers if not looked after	Statute of Limitations Act
Case Management	Children's Services	F2	Short term records	Last Contact + 1 year	Records of one off contact - NFA	Departmental policy
Case Management	Children's Services	F3	Process involving Individual case management in the provision of support by the local authority to families.	Last entry + 7 years	Parenting skills	Statute of Limitations Act
					Special education	
					Attendance records	
					Project files	
Case Management	Children's Services	F4	Process involving Individual case assessment, investigation, registration, and management of children involved in child protection: a) investigated, conferenced and registered, b) core assessment, c) investigated but not conferenced and registered	Last entry + 35 years	Child protection case files which have: a) Conference minutes, b) Core Assessment, c) Investigation, d) Registration	Children Act 1989
Case Management	Children's Services	F5	Process involving Individual cases involving initial assessment and provision of advice in regards child protection.	Age 18 + None	Child protection files: a) Initial assessment, b) Advice only	Children Act 1989
Case Management	Children's Services	F6	Process involving Individual cases involving initial assessment and provision of advice in regards child protection.	Last entry + 3 years	Child protection files referral investigated and found to be a) malicious or b) unfounded/ unproven	
Case Management	Children's Services	F7	Process involving case management of adults convicted of Schedule 1 offences.	Date of birth + 75 years	Schedule 1 offenders	

Case Management	Children's Services	F8	Process of adopting a child	Date of Adoption + 100 years	Record of adopted child	Adoption and Children Act 2002 and the Disclosure of Adoption Information (post commencement Adoptions) Regulations 2005
Case Management	Children's Services	F9	Uncompleted adoptions,	Last entry + 25 years	Unsuccessful adoptive applicants and counselling of birth parents which did not lead to adoption	Adoption and Children Act 2002. Adoption Agencies Regulations 2005
Case Management	Children's Services	F10	Adoptive parents	Adoption Order + 75 years	Record of adoptive parents	Adoption Agency Regs 1983
Case Management	Children's Services	F11	Birth records counselling (formerly S.51 records Adoption Act 1976)	Last contact + 10 years	Birth records counselling – clients adopted outside of Essex	Departmental procedure
Case Management	Children's Services	F12	Birth records counselling (formerly S.51 records Adoption Act 1976)	Adoption Order + 75 years	Birth records counselling – clients adopted within Essex	Departmental procedure
Case Management	Children's Services	F13	Process involving Individual case management of children looked after by the local authority (where not died before age 18). This includes children and young people: a) Adopted via the local authority, b) In children's home, c) Fostered by local authority ,d) On custodianship orders	Date of birth + 75 years or 15 years after death of child (where child dies under 18)	Young Persons looked after files Looked after children client files Residential care children's file. CAF/CASS files Guardian ad litem	Reg 50 of the Care Planning and Case Review (England) Regulations 2010

					Supervision orders	
					Young Persons looked after files	
					Looked after children client files	
					Residential care children's file.	
					CAFCASS files	
					Guardian ad litem	
					Supervision orders	
Case Management	Children's Services	F14	Children and young people subject to supervision orders	Age 18 + 3 years		
Case Management	Children's Services	F15	Children placed in Essex (not died before age 23)	Age 23, or 5 years after child's death (if child dies before 23 years of age)	Information on Children in Care placed in Essex by other authorities and held on register of Children in Care	
Case Management	Children's Services	F16	Process involved in checking the suitability of people to become adoptive parents or foster carers including the official security checking and disclosure of person's background.	Closure + 75 years	Adoptive parent counselling files	Fostering regulations (2002)
					Approved adopters	
					Approved fosterers	
					Criminal Records Bureau (CRB) checks and associated documentation	
Case Management	Children's Services	F17	Fostering Service Records	Last entry + 15 years then review	Register of placements	Fostering Service (England) Regulations 2011 Care Planning Regulations
					Details of each person working for foster service provider	
					Record of all accidents	

Case Management	Children's Services	F18	Fostering Service case records.	Minimum 10 years from closure/approval	Foster carer files	Fostering Service (England) Regulations 2011 Care Planning Regulations
					Supported lodging files	
Case Management	Children's Services	F19	Enquiries/ applications to become foster parents which do not lead to approval	Minimum 3 years from refusal or withdrawal - then review		Fostering Service (England) Regulations 2011 Care Planning Regulations
Case Management	Children's Services	F20	Process of recording occupants' personal incidents/ events in a home.	Age 18 + 75 years	Child's File	
					Medicinal Reports	
					Pocket Money receipt book	
					Accident reports	
					Sanctions book	
					Valuables	
Acts of violence						
Children's Homes	Children's Homes inc. CWD and Family Centres	F21	Requisition sheets	2 years +current	A to Z provision orders	
					Fire equipment maintenance	
					Temperature log, ESS657	
Children's Homes	Children's Homes inc. CWD and Family Centres	F22	Registers of management of services to residents	75 years. Legislation requires 15 years, ECC policy is to keep longer	Accident Books	Children's Homes Regs 1991 (Reg 17) Schedule 3
					Daily log & Night book	
					Duty Rosters, Staff in/out sheets & Officer attendance records ESS287	
					Medicinal product administered to any child	

					Register RA1 & RA3 Sanctions Book Valuables deposited by the child and the date of their return	
Children's Homes	Children's Homes inc. CWD and Family Centres	F23	Accounts kept in Home Fire drill or alarm test conducted with details of any deficiency and steps taken to remedy		15 years	Children's Homes Regs 1991 (Reg 17) Schedule 3
Children's Homes	Children's Homes inc. CWD and Family Centres	F24	Communications Book Pocket money receipt book		75 years	
Children's Homes	Children's Homes inc. CWD and Family Centres	F25	Complaints/compliments ESS 599 & ESS 599B		25 years	
Children's Homes	Children's Homes inc. CWD and Family Centres	F26	Diaries Environmental Health inspections/miscellaneous Health & Safety checks		15 years	
Children's Homes	Children's Homes inc. CWD and Family Centres	F27	Electrical/gas equipment safety checks & certificates Inspection Reports Property maintenance/repairs records		5 years	
Children's Homes	Children's Homes inc. CWD and Family Centres	F28	Menus		1 year + current	Children's Homes Regs 1991 (Reg 17) Schedule 3
Children's Homes	Children's Homes inc. CWD and Family Centres	F29	Staff records		Legislations requires 15 years, ECC policy is to retain indefinitely	Children's Homes Regs 1991 (Reg 17) Schedule 3

Children's Homes	Children's Homes inc. CWD and Family Centres	F30	Process of registration of homes	Register	Permanent – offer to ERO	
Case Management	Adult Services	A1	Customers with Mental Health difficulties and or subject to Mental Health Act 1983.	Last action + 20 years	In Community Mental Health Teams Adult (provided through SEPT and NEPFT) case records made by staff with an ECC contract of employment will be retained in joint case files for the same periods as those for health records made by staff in these Teams. Definition of Last Action: end of support services or last contact if no longer in receipt of services.	
Case Management	Adult Services	A2	Customers who have be the provision of Advice and Information only, and no service commissioned by Essex County Council	Last action + 5 years		

Case Management	Adult Services	A3	Customer who has received support services provided or sourced by Essex County Council.	Last action + 7 years	<p>Carers records -where the customer records are included in this period. Paperwork such as contact information, assessments and support plans and case notes.</p> <p>Including Safeguarding documents, Occupational Therapy, Personal Budgets, Learning Disability, Physical and Sensory impairment.</p> <p>Definition of Last Action: end of support services or last contact if no longer in receipt of services.</p> <p>This does not include the pre-adult service children records, such as from Transitions Teams.</p>	
Case Management	Adult Services	A4	Accident and incident records for adults in residential care	15 years from date of discharge, death, or closure of establishment	<p>Accident books</p> <p>Accident/ Incident reports</p> <p>Violence reports</p> <p>Investigation reports</p>	Common Practice
Case Management	Programme Management and Development	C.1.8.1	Process involved in development of service or programme for children.	7 years from closure		Common practice

Case Management	Programme Management and Development	C.1.8.2	Process involved in provision of a service or programme to support the development of children.	25 years from closure	Attendance records	Common practice
					Course reports	
Case Management	Programme Management and Development	C.1.8.3	Process involved in provision of services or programmes to support the development of youths	15 years from closure		Common practice
Case Management	Programme Management and Development	C.1.8.4	Process involved in provision of a service or programme to adults.	7 years from closure		Common practice
Case Management	Special Educational Needs	C.1.4.1	Process involved in assessing and providing individual support for children who have special educational or welfare needs.	Destroy 35 years from closure	SEN files	Common practice
					EWS Case files	

Democratic Processes

Level 2	Level 3	ECC Ref	Process	Action	Record Types	Reason
Council and Committee Meetings		A.2.1.1	The process of preparing business for Council consideration and making the record of discussion, debate and resolutions	Permanent. Offer to Archivist. Transfer to Essex Record Office after administrative use is concluded.	Council Minutes	Common Practice
					Council Agenda and Business Papers	
					Council Notice Papers and Proceedings	
					Indexes	
					Committee Minutes	
					Registers of Delegations to Special Committees	
Council and Committee Meetings		A.2.1.2	Minute taking	Destroy after date of confirmation of the minutes	Draft/Rough Minutes	Common Practice
					Audio Tapes	
Council and Committee Meetings	Preparation	A.1.1.1	Summary certification of those eligible to vote	Permanent. Offer to Archivist after administrative use is concluded.	Electoral Register	Common practice
Council and Committee Meetings	Voting	A.1.1.2	Voting (Local elections only)	Destroy 6 months from close of poll	Ballot papers	Statutory
Council and Committee Meetings	Results	A.1.2.1	Declaration of results (local elections only)	Destroy 6 months from date of election	Consolidated Returns of Votes Received	Statutory
Honours and Submissions		A.4.1.1	The process of preparing of honours submission.	Destroy 5 years after last action	Honours nomination form	Common Practice
					Covering documentation	
					Letters of support	
					Referral for comment from lord lieutenant	

Partnership, Agency and External Meetings		A.3.1.1	The process of preparing business for partnership and agencies consideration and making the record of discussion, debate and resolutions, where ECC legally owns the record.	Permanent. Offer to Archivist. Transfer to Essex Record Office after administrative use is concluded.	Documents establishing the committee	Common Practice
					Agendas	
					Minutes	
					Council reports	
					Recommendations	
Supporting documents such as Council briefing and discussion papers.						
Partnership, Agency and External Meetings		A.3.1.2	The process of preparing business for External Committees consideration and making the record of discussion, debate and resolutions, where ECC does not own the record.	Destroy 3 years after last action	Documents establishing the committee	Common Practice
					Reports	
					Recommendations	
					Supporting documents such as briefing and discussion papers.	

Financial Management

Level 2	Level 3	ECC Ref	Process	Action	Record Types	Reason
Accounts and Audit	Payroll/ Financial Processing	G.1.3.1	Accountable processes relating to payment of employees	Destroy 7 years after leaving or 25 years for employees for whom a CRB disclosure has been obtained (see 'general'), Payroll records retained by payroll to be destroyed 3 years plus current after transaction concluded, P35 fiche retained for 7 years	Authority Sheet	Statutory
					Payroll Deduction Authorities	
					Employee pay Records	
					Employee Taxation Records	
Accounts and Audit	Payroll/ Financial Processing	G.1.3.2	Non-accountable processes relating to payment of employees	Destroy after 2 years plus current year is concluded	Summary Employee Pay Reports	Common practice
					Raised invoices plus any accompanying paperwork	
Accounts and Audit	Financial Transactions Management	G.1.2.1	Management of the approvals process for purchase, including investigations	Destroy 6 years after the conclusion of the financial transaction that the record supports	Appointments & Delegations	Statutory
					Audit Investigations	
					Arrangements for the Provision of Goods and/or Services	
Accounts and Audit	Financial Transactions Management	G.1.2.2	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	Allowances	Statutory
					Work Orders	
					Invoices	
					Credit Card Statements	
					Cash Books	
					Receipts	
					Cheque Counterfoils	
					Bank Statements	
Subsidiary Ledgers (Annual)						



					Journals (Annual)	
					Vouchers	
Accounts and Audit	Financial Transactions Management	G.1.2.3	Process involving the provision and support for individuals using public transportation.	Destroy 6 years after the conclusion of the financial transaction that the record supports.	Applications Card issue Rail warrants	Statutory
Accounts and Audit	Financial Transactions Management	G.1.2.4	Processes that balance & reconcile financial accounts	Destroy 2 years after administrative use is concluded	Reconciliation Summaries of Accounts	Common practice
Accounts and Audit	Financial Transactions Management	G.1.2.5	Taxation Records	Destroy 6 years after the end of the financial year in which the records were created	Taxation Records	Statutory
Accounts and Audit	Financial Transactions Management	G.1.2.5	Taxation Records	Destroy 6 years after the end of the financial year in which the records were created	Motor Vehicle Logs Fringe Benefits Tax Records Group Certificates	
Accounts and Audit	Financial Transactions Management	G.1.2.6	Processes involved in the collection of National Insurance Number	Destroy 2 years after the employee ceases employment	Notification & Input Records	Common practice
Accounts and Audit	Reporting	G.1.1.1	The process that consolidates financial transactions on an annual basis for corporate reporting purposes.	Permanent. Offer to Archivist. Transfer to Essex Record Office after administrative use is concluded.	Consolidated Annual Reports Consolidated Financial Statements Statement of Financial Position Operating Statements General Ledger	Common practice
Accounts and Audit	Reporting	G.1.1.2	The process that supports and consolidates financial transactions on a periodic (less than annual) basis, superseding those from the previous period. Does not include journals and	Destroy when administrative use is concluded.	Consolidated Monthly & Quarterly Reports Consolidated Monthly & Quarterly Financial Statements	Common practice

			subsidiary ledgers and cash books		Working Papers for the preparation of the above	
					Monthly Accrual Statements	
					Cash Flow Statements	
					Creditor Listings and Reports	
					Debtor Listings and Reports	
Asset Acquisition and Disposal		G.9.1.1	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.	Legal Documents relating to the Purchase/Sale	Statutory
					Particulars of Sale Documents	
					Board of Survey	
					Leases	
					Applications for Leases, Licences & Rental Revision	
					Tender Documents	
					Conditions of Contracts	
					Certificates of Approval	
Asset Monitoring and Maintenance		G.8.1.1	Management systems that allow the monitoring & management of assets in summary form.	Destroy 7 years after the conclusion of the financial transaction that the record supports	Subsidiary Asset Registers	Common practice
Asset Monitoring and Maintenance		G.8.1.2	Process of reporting and reviewing assets status	Destroy 2 years after administrative use is concluded.	Routine Returns and Reports on Asset Status	Common practice
					Inventories	
					Stocktaking	
					Surveys of Usage	
					Acquisition and Disposal Reports & Proposals	
Asset Monitoring and Maintenance		G.8.1.3	The process of maintaining assets	Destroy 7 years after last action	Garden maintenance Cleaning Painting	Common practice

Asset Monitoring and Maintenance		G.8.1.4	The process of maintaining plant and equipment.	Destroy 7 years after sale or disposal of asset	Service records Plant files	Common practice
Council Tax Valuation		G.4.1.1	The valuation of rateable land within a municipal district for the purpose of the making of the rate	Valuation lists - Permanent Offer to Archivist for review Destroy 10 years after the year in which the valuation was made	Valuation lists Correspondence Objections Reports	Common practice
Financial Provisions	Budgets and Estimates	G.2.1.1	The process of finalising Local Authorities' annual budget	Permanent. Offer to Archivist. Transfer to Essex Record Office after administrative use is concluded.	Annual Budget	Common practice Only the final version of the annual budget needs to be kept
Financial Provisions	Budgets and Estimates	G.2.1.2	The process of developing Local Authorities' annual budget.	Destroy 2 years after annual budget adopted by Local Authorities.	Draft Budgets Departmental Budgets Draft Estimates	Common practice
Financial Provisions	Budgets and Estimates	G.2.1.3	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 by Local Authorities	Quarterly Statements	Common practice
Financial Provisions	Loans	G.2.2.1	The activity of borrowing money to enable a Local Authority to perform its functions and exercise its powers.	Destroy 7 years after the loan has been repaid	Loan Files	Statutory
Financial Provisions	Loans	G.2.2.2	Summary management of loans	Permanent. Offer to Archivist. Transfer to Essex Record Office after administrative use is concluded.	Loans Registers	Common practice

Summary Assets Management		G.7.1.1	Summary management reporting on the overall assets of the Local Authority	Permanent. Offer to Archivist. Transfer to Essex Record Office after administrative use is concluded.	Schedules of Acquisitions	Common practice
					Consolidated Current Asset Reports	
					Annual Reports	
					Summary of Current Assets	
Asset Registers						

General

Level 2	Level 3	ECC Ref	Process	Action	Record Types	Reason
General Correspondence		L.2.1.1	Correspondence with the public or external organisations which cannot be linked and stored with other records relating to a specific process i.e a Case File/ Project File/ Initiative File/ Request for Information under legislation	Archive for one year then Destroy if no further action	General Correspondence letters	
					General Correspondence e-mails	
					General Correspondence faxes	
General Information Files	Miscellaneous Files	L.3.1.1	Files (paper) or Folders (electronic - including e-mail) containing records for which there is no identified process or function in the Retention Schedule	No file should remain open for more than 5 years and may be closed at any time within that period based on monitoring of usage and additions. If closed and new activity begins, a new volume of the file should be created and the retention period of the old volume be brought in line with the new volume. Archive for one year after closure and if no further action or addition - destroy	General Files	5 year rule specified in Code of Practice on Records Management under s.46 Freedom of Information Act 2000

Non-Captured Information	Reference material	L.1.1.2	Information resources that provide staff with guidance and support in the course of their work	Retain as current records in the workplace for convenience, seek to convert into shared electronic resources where possible and destroy original paper copies. Reference material should not be archived - either retain as current or destroy.	Handbooks				
Non-Captured Information	Reference material	L.1.1.2	Information resources that provide staff with guidance and support in the course of their work	Retain as current records in the workplace for convenience, seek to convert into shared electronic resources where possible and destroy original paper copies. Reference material should not be archived - either retain as current or destroy.	<table border="1"> <tr> <td>Protocols</td> </tr> <tr> <td>Guidance documents</td> </tr> <tr> <td>Manuals</td> </tr> </table>	Protocols	Guidance documents	Manuals	
Protocols									
Guidance documents									
Manuals									
Non-Captured Information	Unstructured records	L.1.1.1	Records that do not support a business process i.e. there is no existing place for them in a filing structure and none will be created. This applies to filing structures for paper and electronic formats (including e-mail)	Destroy as soon as any use has ceased	'With compliments' slips	Local Government Act 1972 – Access to information for Working Papers as background to reports to Committee/ Full Council			

Non-Captured Information	Unstructured records	L.1.1.1	Records that do not support a business process i.e. there is no existing place for them in a filing structure and none will be created. This applies to filing structures for paper and electronic formats (including e-mail)	Destroy as soon as any use has ceased	Catalogues, trade journals, suppliers' promotional material, course/ seminar/ conference invitations	
					Telephone message slips	
					Non-acceptance of invitations	
					Trivial messages or notes that are not related to ECC business (especially e-mails)	
					Requests for stock information such as maps, plans or advertising material	
					Out-of-date distribution lists	
Working papers which lead to a final report (unless report is submitted to Committee - in which case papers should be available for 6 years in line with availability of the minutes for public inspection)						
Requests for Information	Access to Records Requests under the Data Protection Act	L.4.1.1	Requests for Information dealt with under the provisions of the Data Protection Act 1998	Closure + 5 years	Subject Access Request File	
Requests for Information	Freedom of Information	L.4.2.1	Requests for Information dealt with under the provisions of the Freedom of	Closure + 1 year.	Freedom of Information (FOI) Request File	

	Requests		Information Act 2000 (FOI)		Environmental Information Regulations (EIR) Request File	
--	-----------------	--	----------------------------	--	--	--

General Public Services

Level 2	Level 3	ECC Ref	Process	Action	Record Types	Reason
By-Laws	Administration & Enforcement	I.3.2.1	The process of administering and enforcing By-laws	Destroy 2 years after certificate has expired or penalty payment has been made or the matter has been finished or correspondence on the matter has ceased.	Applications and Certificates	Common practice
					Permits	
					Licenses	
					Infringement Notices (Parking)	
					Correspondence	
By-Laws	Enactment	I.3.1.1	The process of making local laws	Permanent. Offer to Archivist for review. Transfer to Essex Record Office after administrative use is concluded.	Master Set of bye-laws	Common practice
					Policy Development Documents	
					Correspondence	
					Submissions	
Enforcement Certification and Prosecution	Investigation, Inspection and Monitoring	I.2.3.1	The process of investigation, monitoring or inspection laws in the responsibility of the local authority.	Destroy 7 years from last action.	Trading standards sample and inspections records	Common practice
					Fire certificate compliance inspections	
Enforcement Certification and Prosecution	Notification	I.2.2.1	The process of issuing notices to citizens with respect to particular responsibilities	Destroy 2 years after the matter is concluded	Fire Prevention Notices	Common practice
					Fire Prevention Infringement Notices	
					Objections to Notices	
					Appeals Against Notices	
					Registration of Premises Infringement Notices	
					Animal Impounding Notices	
Enforcement Certification and Prosecution	Prosecution	I.2.4.1	The process of prosecution or sanction of an individual or organisation for failing to comply with their legal responsibilities.	Destroy 7 years from last action.	Prosecution/ sanction files	Common practice

Enforcement Certification and Prosecution	Registration, Certification and Licensing	I.2.1.2	The administration of applications, registration, certification and licences in relation to Local authorities registration requirements.	Destroy 2 years after registration or entitlement lapses	Applications for Registration of a Business Premises	Note may want archival review in cases of licensing of children in entertainment.
					Registers	
					Certificates of Disabled Parking permits/ Blue badge	
Enforcement Certification and Prosecution	Registration, Certification and Licensing	I.2.1.3	The process involved in licensing sites for the holding or use of toxic or hazardous substances. (including petroleum, agricultural chemical products or herbicides)	Permanent. Offer to Archivist. Transfer to Essex Record Office after administrative use is concluded - 60 years after registration or entitlement lapses	Diesel licences	Common practice
					Petroleum licences	
					Health and safety licensing	
					Hazardous substances	
Enforcement Certification and Prosecution	Registration, Certification and Licensing	I.2.1.4	The process of registration of homes or carers for the care and support of children, in the responsibility of the local authority.	Permanent. Offer to Archivist. Transfer to Essex Record Office after administrative use is concluded - 25 years from closure of centre, or discontinuation of care	Contaminated land register/ pollution	Common practice
					Organisation Files	
Enforcement Certification and Prosecution	Inspections and Assessments	I.1.1.1	Process of inspecting equipment to ensure it is safe.	Destroy 6 Years from destruction of the equipment	Equipment inspection records	Statutory
Enforcement Certification and Prosecution	Inspections and Assessments	I.1.1.10	Process that record injuries to children	Destroy when child is age 21	Accident/ Incident reports	Based on Statutory
Enforcement Certification and Prosecution	Inspections and Assessments	I.1.1.2	Processing the geo-technical assessments of a quarry	When quarry is no longer in use consult or refer to Health and Safety Executive (HSE)		Statutory
Enforcement Certification and Prosecution	Inspections and Assessments	I.1.1.3	Process of carrying out monitoring to ensure that the process is safe.	Destroy 3 Years from last action	Monitoring results	Statutory

Enforcement Certification and Prosecution	Inspections and Assessments	I.1.1.4	Health surveillance	Destroy 40 years from the last day of entry or until the employee reaches age 80 (if later).	Health surveillance record Medical record	Statutory - CoSHH 2002 as amended
Enforcement Certification and Prosecution	Inspections and Assessments	I.1.1.4	Health surveillance	Destroy 50 years from the date of last entry.	Health surveillance record containing details of any actual or potential exposure to a dangerous substance (e.g. asbestos)	Statutory - Asbestos at Work Regs 2012 (stating 40 years).
Enforcement Certification and Prosecution	Inspections and Assessments	I.1.1.5	Process of monitoring of areas where employees and persons are likely to have come in contact with radiation	Destroy 50 Years from last action or at age 75 years whichever is the greater.	Radon monitoring	
Enforcement Certification and Prosecution	Inspections and Assessments	I.1.1.6	Process to ensure safe systems of work	Retain until superseded or process ceases, +1 year		Common practice
Enforcement Certification and Prosecution	Inspections and Assessments	I.1.1.7	Process to asses the level of risk	Destroy 3 Years from last assessment.	Risk assessment	Statutory
Enforcement Certification and Prosecution	Inspections and Assessments		Process to assess the Health and safety risk	Date of last entry, or 12 months from the date of the last review +3 years.	General risk assessments (for teams, posts or specific tasks/activities);	Insurance Requirement

				If used in any legal case (whether criminal or civil), until all legal action has been completed and no appeal is likely or possible. (Usually 3 years after last action).	Specific risk assessments as required by statute (CoSHH, Manual Handling, DSE, Fire, Water, Pregnant & Nursing Mothers, Stress, etc.)	
Enforcement Certification and Prosecution	Inspections and Assessments	I.1.1.8	Processes that permit work	Destroy 1 Year from last action.		Common practice
Enforcement Certification and Prosecution	Inspections and Assessments	I.1.1.9	Process that record injuries to adults (not in residential care)	Destroy 15 years from date of closure	Accident/ incident reports	Statutory
Enforcement Certification and Prosecution	Disposal of Waste	I.5.2.1	The summary management of sites used for the disposal of waste within the local authority.	Permanent. Offer to Archivist. Transfer to Essex Record Office after administrative use is concluded.		Common practice
Enforcement Certification and Prosecution	Disposal of Waste	I.5.2.2	The process of the short-term storage of household waste.	Destroy 10 year after site closure.	Transfer sites	Common practice
Enforcement Certification and Prosecution	Disposal of Waste	I.5.2.3	The process involved in managing the use, type and amount of waste to be disposed at a specific site.	Permanent. Offer to Archivist. Transfer to Essex Record Office after administrative use is concluded.	Waste site plans	Common practice
Enforcement Certification and Prosecution	Disposal of Waste		Exposure monitoring records (not related to an individual)	5 years from the date the record was made.	Exposure monitoring records such as air sampling (fixed site) or surface wipe samples.	Statutory – Control of Substances Hazardous to Health (CoSHH) 2002 as amended.

Enforcement Certification and Prosecution	Disposal of Waste		Waste disposal records – Hazardous waste	3 years from the date of disposal of the waste.	Consignment Notes.	Statutory – The Hazardous Waste (England and Wales) regulations 2005
Enforcement Certification and Prosecution	Disposal of Waste		Waste disposal records – Non-Hazardous waste	2 years from the date of disposal of the waste.	Waste Transfer Notes.	Statutory – The Waste (England and Wales) Regulations 2011 (amended 2014)

Human Resources

Level 2	Level 3	ECC Ref	Process	Action	Record Types	Reason
Appointments of Statutory Officers		F.2.1.1	Summary management systems that allow the monitoring & management of statutory officers in summary form.	Permanent. Offer to Archivist. Transfer to Essex Record Office after administrative use is concluded.	Magistrates register	Common practice
Appointments of Statutory Officers		F.2.1.2	The process of administering employees to ensure that entitlements & obligations are in accordance with agreed employment requirements	Destroy 6 years after departure from Employment	☐	Common practice
Appointments of Statutory Officers		F.2.1.3	The appointment of an individual for a statutory position.	Permanent. Offer to Archivist. Transfer to Essex Record Office after administrative use is concluded.	Appointment Files Shrievalty Magistrates Lord lieutenant Tax commissioners	Common practice
Appointments of Statutory Officers		F.2.1.4	The process of selection of an individual for an statutory position	Destroy 2 years after date of appointment	Vacancies & Applications Records Interview notes Prospective Staff Records Registers of Applicants Unsuccessful Applications Records	Common practice
HR Administration	Employee Relations	F.1.2.1	Identification & development of significant directions concerning industrial matters	HR to archive for 50 years with Essex Records office for review. Transfer to Essex Record Office after administrative use is concluded.	Generic agreements and awards Negotiations Disputes Claims lodged	Common practice

HR Administration	Employee Relations	F.1.2.2	Liaison processes of minor and routine matters	Destroy 2 years after administrative use is concluded.	Daily employee Relations management issues	Common practice but subject to internal monitoring
HR Administration	Employee Relations	F.1.2.3	Processing of Disciplinary and Grievances Investigations where proved	Disciplinary records including warnings and grievance records retained on personal files until normal file destruction. Warnings Involving Children/vulnerable adults retained for 25years after the end of employment.	Disciplinary	For all practical purposes this function would not be subject to records management involvement
HR Administration	Employee Relations	F.1.2.4	Processing of Disciplinary and Grievances Investigations where unfounded)	Destroy immediately after the disciplinary or grievance has been found to be have been unfounded or after an appeal if found to be unfounded. Exceptional cases may require special measures (see HR PF11.2 para 2.10)	Disciplinary	Common practice
HR Administration	Equal Employment Opportunities	F.1.9.1	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. Exceptional cases may require special measures.		Common practice
HR Administration	General	F.1.1.1	Summary Workforce information management systems that allow the monitoring & management of employees in summary form. Note: The summary	Transfer to Essex Record Office after administrative use is concluded	Employment summaries Register of HR Files Historic manual card index system	Common practice

			information that this record class attempts to capture is:- Name DOB Date of Appointment Work History Details Position/Designation Titles & Dates Held		Fiche/ cd rom archives	
HR Administration	General	F.1.1.2	The process of administering employees to ensure that entitlements & obligations are in accordance with agreed employment requirements including the retention of pension information.	On leaving ECC personal file is archived and passed to records management. Personal file destruction to occur 7-25 years after leaving date. Individual Pension records are retained by pensions services for 50 years. However, personal files for some groups of employees are kept for 25 years after leaving date, i.e. employees for whom a CRB disclosure has been obtained and leavers where there have been known concerns about their behaviour/conduct in relation to children or vulnerable adults.	Medical Clearance, Letter/offer of appointment, Letter of acceptance, Details of assigned duties, Probation reports, Medical examinations, Personal particulars, Educational qualifications, Declarations of pecuniary interests, Certificates of protection, Employment contracts, References received/given to other employers	Common practice
HR administration	Occupational Health	F.1.3.1	The process of checking and ensuring the health of staff (and potential staff).	Destroy 12 years after employment ends. 50 years after for Fire & Rescue staff	Health questionnaire Medical Clearance	ECC Policy (Employment Law recommends 6 years)
				6 months (in line with probation period)	Pre-employment Health questionnaires and medical clearances	Employment law/ Common Practice
				2 years	Minibus driver health questionnaires	Common practice

				10 years after last entry	Ill-health medical files including: Reasonable adjustments Recommendations and restrictions	Common Practice (in-line with NHS policy)
HR administration	Incidents		Process of recording incidents/ accidents to staff	Review after 25 years for transfer to Occupational Health team or to destroy	Incident/ Accident form Accident books Violence reports Investigation reports	Insurance Requirement
HR administration	Recruitment	F.1.4.1	The selection of an individual for an established position	Destroy 1 year after recruitment has been finalised.	Advertisements Applications Employment references Interview reports Unsuccessful applicants	Common practice
HR administration	Staff Monitoring	F.1.5.1	Performance (Supporting Success Paperwork)	Combined with personal file Destroyed 7 years after leaving date, or 25 years for employees for whom a CRB disclosure has been obtained (see 'general')	Probation reports Performance plans (Supporting Success)	Common practice
HR administration	Staff Monitoring	F.1.5.2	Process of monitoring staff leave and attendance.	Combine with personal file and destroy 7 years after leaving or 25 years for employees for whom a CRB disclosure has been obtained (see 'general')	Sick leave	Common practice
HR administration	Staff Monitoring	F.1.5.3	Process of monitoring staff leave and attendance.	Combine with personal file and destroy 7 years after leaving or 25 years for employees for whom a CRB disclosure has been obtained (see 'general')	Jury service	

HR administration	Staff Monitoring	F.1.5.4	Process of monitoring staff leave and attendance.	Combine with personal file and destroy 7 years after leaving or 25 years for employees for whom a CRB disclosure has been obtained (see 'general')	Study leave	
HR administration	Staff Monitoring	F.1.5.5	Process of monitoring staff leave and attendance.	Combine with personal file and destroy 7 years after leaving or 25 years for employees for whom a CRB disclosure has been obtained (see 'general')	Special and personal leave	
HR administration	Staff Monitoring	F.1.5.6	Process of monitoring staff leave and attendance.	Combine with personal file and destroy 7 years after leaving or 25 years for employees for whom a CRB disclosure has been obtained (see 'general')	Leave applications	
HR administration	Staff Retention	F.1.6.1	Financial reward including performance management, honorariums and R&R allowance	On personal file so destroy 7 years after leaving, or 25 years for employees for whom a CRB disclosure has been obtained (see 'general')		Common practice
HR administration	Staff Retention	F.1.6.2	Other strategic documents	Destroy 3 years after action completed		Common practice
HR administration	Termination	F.1.7.1	The process of termination of staff through voluntary redundancy, dismissal and retirement.	On personal file so destroy 7 years after leaving, or 25 years for employees for whom a CRB disclosure has been obtained (see 'general')	Resignation	Common practice
HR administration	Termination	F.1.7.1	The process of termination of staff through voluntary redundancy, dismissal and retirement.	On personal file so destroy 7 years after leaving, or 25 years for employees for	Redundancy Dismissal Death	Common practice

				whom a CRB disclosure has been obtained (see 'general')	Retirement	
HR administration	Training and Development	F.1.8.1	Routine staff training programmes, not occupational health and safety or children related, which would be retained on the personal file.	Destroy after 3 years but details of any training and development to be recorded on PMR paper work, which will be retained on personal file. (see 'general')	Course individual staff assessment	Common practice
HR administration	Training and Development	F.1.8.2	Training (concerning children)	Destroy 35 years after training completed, or last entry	Course individual staff assessment training register	Common practice
Personnel administration	General	F.1.1.3	Records relating to staff with DBS checks	Termination + 25 years		Common practice
Personnel administration	General	F.1.1.4	All other records	Termination + 6 years		Common practice
Personnel administration	Recruitment	F.1.4.2	The official security checking and disclosure of an employee's background before commencing employment.	Positive outcomes - 2 years after date of check	DBS checks and associated documentation	Common practice
Personnel administration	Recruitment	F.1.4.3	The official security checking and disclosure of an employee's background before commencing employment.	Negative outcomes - 1 year after date of check	DBS checks and associated documentation	Common practice
Personnel administration	Training and Development	F.1.8.3	Training (occupational health and safety training)	Destroy 50 years after training completed Individual course assessment records should be destroyed once the training has been renewed every 3 years	OH&S training register	Common practice
Personnel administration	Training and Development	F.1.8.4	Training (materials)	Destroy 1 year after course is superseded		Common practice
Personnel administration	Training and Development	F.1.8.5	Training (proof of completion)	Destroy 7 years after action completed	Certificates Awards Exam results	Common practice



Infrastructure and Transport

Level 2	Level 3	ECC Ref	Process	Action	Record Types	Reason
Design and Construction		K.3.1.1	The activity of planning, designing, programming and constructing roads, streets, bridges, and tunnels.	Permanent. Offer to Archivist. Transfer to Essex Record Office after administrative use is concluded.		Common practice
Infrastructure Management and Maintenance		K.4.1.1	The activity of providing municipal services in relation to Infrastructure within the local authority.	Destroy 7 years after last action	Requests for: Hedge clipping, Tree planting, Naming of streets, Numbering of houses, Street load limits, Street signs, Bus shelters, Applications to dig pavements, HGV application, Advice / comment, Level crossings, Right of ways, Roundabouts, Traffic calming measures, Street lighting, Street Records, Street Files	Common practice
Planning and Development		K.1.1.1	The activity of developing a vision and strategic directions regarding existing transport and infrastructure within the municipality	Permanent. Offer to Archivist. Transfer to Essex Record Office after administrative use is concluded.	Structure Plan Local transport plan	Common practice
Planning and Development		K.1.1.2	The activity of recording location of highways, bridle paths and rights of way.	Permanent. Offer to Archivist. Transfer to Essex Record Office after administrative use is concluded.	Definitive map Correspondence concerning enquiries and disputes	Common practice

Planning and Development		K.1.1.3	The activity of establishing planning scheme controls and providing for them to be amended and modified.	Permanent. Offer to Archivist. Transfer to Essex Record Office after administrative use is concluded.	Amendments to definitive map	Common practice
Planning and Development		K.1.1.4	The activity of establishing planning scheme controls and providing for them to be amended and modified.	Permanent. Offer to Archivist. Transfer to Essex Record Office after administrative use is concluded.	Road adoption Enquiries, consultation documents, objections and correspondence	Common practice
Planning and Development		K.1.1.5	The process of enforcing infrastructure and transport regulations	Destroy 50 years after Enforcement Notice.	Enforcement Notice	Common practice
Planning and Development			The process of enforcing infrastructure and transport regulations	Destroy 3 years after compliance with enforcement notice.		Common practice
Public Transport		K.6.1.1	The activities involved in the management and provision of public transport.	Destroy 3 years after superseded or last action.	Timetables and Routes Maps Fares Customer and industry liaison	Common practice
Road Maintenance		K.5.1.1	The activity of maintaining and repairing roads, streets, bridges, bridle paths, rights of way and tunnels	Destroy 12 years after action completed		Common practice
Traffic Management		K.2.1.1	The activity of planning, and programming the continued flow, diversion or reduction of traffic.	Destroy 7 years after action completed	Traffic orders	Common practice

Legal and Contracts

Level 2	Level 3	ECC Ref	Process	Action	Record Types	Reason
Advice (General)		D.2.1.1	The process of providing legal advice on a point of law.	Destroy 3 years after last action. – unless a major precedent, then offer to Archivist for review.		Common practice
Agreements		D.3.1.1	Process of agreeing terms between organisations. Note this does not include contractual agreements	Destroy 6 years after agreement expires or is terminated	Concordant	Common practice Depends on value of agreement Mainly to do with agreements between public bodies. Not in regards contracts
Contracts and Tendering	Awarding of contract	D.5.6.1	The process awarding of contract	Ordinary Contracts Destroy 6 years after the terms of contract have expired.	Signed contract Signed contract under seal	Statutory
Contracts and Tendering	Contract Management	D.5.7.1	Contract operation and monitoring	Destroy 2 years after the terms of contract have expired	Service Level Agreements Compliance reports Performance reports	Common practice
Contracts and Tendering	Contract Management	D.5.7.2	Management and amendment of contract	Ordinary Contracts Destroy 6 years after the terms of contract have expired. Contracts Under Seal Destroy 12 years after the terms of contract have expired	Minutes and papers of meetings Changes to requirements Variation forms Extension of contract Complaints Disputes on payment	Statutory

Contracts and Tendering	Evaluation of Tender	D.5.4.1	Summary tender evaluation criteria	Ordinary Contracts Destroy 6 years after the terms of contract have expired. Contracts Under Seal Destroy 12 years after the terms of contract have expired	Evaluation criteria	Statutory
Contracts and Tendering	Evaluation of Tender	D.5.4.2	Successful tender document	Ordinary Contracts Destroy 6 years after the terms of contract have expired. Contracts Under Seal Destroy 12 years after the terms of contract have expired	Tender documents Quotations	Statutory
Contracts and Tendering	Evaluation of Tender	D.5.4.3	Unsuccessful tender documents	Destroy 1 year after start of Contract	Tender documents Quotations	Common practice
Contracts and Tendering	Post Tender Negotiation	D.5.5.1	The process in negotiation of a contract after a preferred tender is selected.	Destroy 1 year after the terms of contract have expired	clarification of contract post tender negotiation minutes	Common practice
Contracts and Tendering	Pre Contract Advice	D.5.1.1	The process of calling for expressions of interest	Destroy 2 years after contract let or not proceeded with	Expressions of Interest	Common practice
Contracts and Tendering	Specification and Contract Development	D.5.2.1	The process involved in the development and specification of a contract	Ordinary Contracts Destroy 6 years after the terms of contract have expired.	Tender specification Note: For project files containing drafts leading to a final version these records can be destroyed.	Statutory
Contracts and Tendering	Tender Issuing and Return	D.5.3.1	The process involved in the issuing and return of a tender.	Destroy 1 year after start of Contract	Opening notice Tender envelope	Common practice

Conveyance		D.4.1.1	The process of changing ownership of land or property.	Destroy 12 years after closure	Conveyancing files	Statutory
Legal Case Management		D.6.1.1	Process of recording legal involvement in cases of Adoption	Destroy 75 years from closure date	Legal Adoption Files	Statutory requirement
Legal Case Management		D.6.1.10	Process of recording legal involvement in the Crouch Harbour Authority	Review after 10 years	Legal Crouch Harbour Files	
Legal Case Management		D.6.1.11	Process of recording legal involvement in Schools related Judicial Review matters	Review after 10 years	Legal Judicial Review Files	Legal requirement that legal files are kept for a minimum of 6 years
Legal Case Management		D.6.1.12	Process of recording legal involvement relating to People with Physical Disabilities, People with Mental Health needs, People with Learning Disabilities, matters relating to Trading Standards and general matters relating to Social Care Strategy and Regulations	Review after 6 years	Legal 'People with Physical Disabilities' Files Legal 'People with Mental Health needs' Files Legal 'People with Learning Disabilities' Files Legal Trading Standards Files Legal Social Care Strategy and Regulations Files	In accordance with the limitation period
Legal Case Management		D.6.1.13	Process of recording legal involvement relating to the Essex Fire Authority, the Essex Probation Service, Highways and Public Transport, Non-School Attendance, Planning, and Essex Police matters	Review after 6 years	Legal Essex Fire Authority Files Legal Essex Probation Service Files Legal Highways and Public Transport Files Legal Non-School Attendance Files Legal Planning Files Legal Essex Police Files	Legal requirement that legal files are kept for a minimum of 6 years

Legal Case Management		D.6.1.2	Process of recording legal involvement in the work of the Essex Child Protection Committee and general Committee Services	Destroy after 10 years	Legal ECPC Files	Common practice
Legal Case Management		D.6.1.3	Process of recording legal involvement in Social Care General Policy Work	Destroy after 10 years	Legal Committee Services Files	Legal requirement that legal files are kept for a minimum of 6 years
Legal Case Management		D.6.1.4	Process of recording legal involvement in Property Law Work	Destroy after 12 years	Legal Social Care General Policy Work Files	In compliance with the limitation period
Legal Case Management		D.6.1.5	Process of recording legal involvement in minor matters relating to Insurance	Destroy after 25 years	Legal Property Law files	In accordance with limitation period
Legal Case Management		D.6.1.6	Process of recording legal involvement in Social Care Tenancy Agreements & General Matters and Schools/ Education matters relating to Foundation and Grant Maintained Schools and general schools matters	Destroy after 25 years	Legal Insurance - Minor Matters files Legal Social Care Tenancy Agreements files Legal Social Care General Matters Files Legal Foundation Schools Files Legal Grant Maintained Schools Files Legal General Schools related matters files	In compliance with the limitation period
Legal Case Management		D.6.1.7	Process of recording legal involvement in Debt Collection, Insurance (adult matters) and Social Care matters relating to Older People	Destroy after 6 years	Legal Debt Collection Files Legal Insurance - Adult Matter files Legal Older People Files - Social Care	In accordance with limitation period

Legal Case Management		D.6.1.8	Process of recording legal involvement in issues relating to ECC's Commercial Services, the County Secretary, Enterprise, Environmental Services, Financial Services, Heritage and Culture, Human Resources, Chief Executive & Clerks and matters relating to Magistrates and the New Road and Street Works Act	Destroy after 6 years	Legal Commercial Services Files	Legal requirement that legal files are kept for a minimum of 6 years
Legal Case Management		D.6.1.8	Process of recording legal involvement in issues relating to ECC's Commercial Services, the County Secretary, Enterprise, Environmental Services, Financial Services, Heritage and Culture, Human Resources, Chief Executive & Clerks and matters relating to Magistrates and the New Road and Street Works Act	Destroy after 6 years	Legal County Secretary Files	
Legal Case Management		D.6.1.8	Process of recording legal involvement in issues relating to ECC's Commercial Services, the County Secretary, Enterprise, Environmental Services, Financial Services, Heritage and Culture, Human Resources, Chief Executive & Clerks and matters relating to Magistrates and the New Road and Street Works Act	Destroy after 6 years	Legal Enterprise Files Legal Environmental Services Files Legal Financial Services Files Legal Heritage and Culture Files Legal Magistrates Files Legal New Road and Street Works Act Files Legal Personnel/ Human Resources Files	
Legal Case Management		D.6.1.9	Process of recording legal involvement in Children's Cases and general Children's Services issues	Destroy after 75 years	Legal Child Care Files Legal Children's Services Files	In compliance with the limitation period
Litigation (General)		D.1.1.1	The process of managing, undertaking or defending for or against litigation on	Destroy 7 years after last action. Major litigation –	Criminal case file Childcare case file	Common practice

		behalf of the local authority.	offer to Archivist for review	Civil case file correspondence	
				Corporate Plans	
				Strategy Plans	
				Business Plans	
				Annual Reports	

Management and Administration

Level 2	Level 3	ECC Ref	Process	Action	Record Types	Reason
Corporate planning and reporting		B.1.1.2	The process of preparing business for strategic consideration and making the record of discussion, debate and resolutions	Permanent. Offer to Archivist. Transfer to Essex Record Office after administrative use is concluded.	Strategic management team minutes	Common Practice
Corporate planning and reporting		B.1.1.3	The process of preparing business for cross departmental consideration and making the record of discussion, debate and resolutions	Destroy 3 years from closure	Cross-service meeting minutes	Common Practice
Corporate planning and reporting		B.1.1.4	The process of preparing business for Business Unit consideration and making the record of discussion, debate and resolutions	Destroy 3 years from closure	Team/ Service meetings	Common Practice
Enquiries, and Complaints		B.6.1.1	The management in summary form of enquiries and complaints directed to council.	Permanent. Offer to Archivist. Transfer to Essex Record Office after administrative use is concluded.	Indexes Registers	Common Practice
Enquiries, and Complaints		B.6.1.2	The management of enquiries, submissions and complaints which result in significant changes to policy or procedures	Permanent. Offer to Archivist. Transfer to Essex Record Office after administrative use is concluded.	Reports Returns Correspondence	Common Practice
Enquiries, and Complaints		B.6.1.4	The management of routine responses on Council actions, policy, procedures and services	Destroy 1year after administrative use is concluded	Printed Material Reports Returns Correspondence Form Letters	Common Practice
Enquiries, and		B.6.1.5	The management of responses to	Destroy after 6 years as	Ombudsman	Common

Complaints			ombudsman and statutory complaints	complaints relating to Adult and Childrens services must be associated with the case record	Statutory complaints	Practice
Information Management		B.5.1.1	The activity whereby standards, authorities, restraints and verifications are introduced and maintained to manage information effectively.	Permanent. Offer to Archivist. Transfer to Essex Record Office after administrative use is concluded.	Classification Schemes Registers Indexes Authorised Lists of File Headings	Common Practice
Information Management		B.5.1.2	The management of collections of records transferred to the archives	Permanent. Offer to Archivist. Transfer to Essex Record Office after administrative use is concluded.	Accession registers Depositor files	Common Practice
Information Management		B.5.1.3	The process that records the disposal of records.	Permanent	Disposal certificates Registers of records destroyed	
Policy, Procedures, Strategy and Structure		B.3.1.1	Activities that develop policies, procedures, strategies and structures for the Local Authorities.	Permanent. Offer to Archivist. Transfer to Essex Record Office after administrative use is concluded.	Policy Procedure Precedent Instructions Organisation Charts Records relating to Policy Implementation and Development Education plan Asset management plan Children' s Services Plan Community Strategy Community Plan Community Safety plan	Common Practice

Policy, Procedures, Strategy and Structure		B.3.1.1	Health and Safety Management Policies	Review after 25 years.	All corporate health and safety policies; Codes of practice; Guidance; Forms and templates.	Insurance Requirement In order to be able to defend against claims (e.g. for ill health conditions with long latency periods or relating to children).
				Review after 50 years	All corporate health and safety policies relating to asbestos; Asbestos Codes of practice; Asbestos Guidance; Forms and templates.	
Policy, Procedures, Strategy and Structure		B.3.1.2	The process of monitoring and reviewing strategic plans, policies or procedure to assess their compliance with guidelines	Destroy 5 years from closure		Common Practice
Public Consultation		B.4.1.1	The process of consulting the public and staff in the development of significant policies of the local authority	Destroy 5 years from closure		Common Practice.
Public Consultation		B.4.1.2	The process of consulting the public and staff in the development of minor policies of the local authority	Destroy 1 year from closure		Common Practice
Public relations	Civic and Royal Events	B.8.4.1	The recording of ceremonial events and civic occasions	Permanent. Offer to Archivist. Transfer to Essex Record Office after administrative use is concluded	Visitors Book	Common Practice
					Audio Tapes	
					Video Tapes	
					Photographs	
Public relations	Civic and Royal Events	B.8.4.2	The process of organising a ceremonial event or civic occasions	Destroy 7 years after administrative use is concluded		Common Practice

Public relations	Marketing	B.8.3.1	The process of developing and promotion of Local Authorities Campaigns and events	Permanent. Offer to Archivist for review. Transfer to Essex Record Office after administrative use is concluded.		Common Practice
Public relations	Media Relations	B.8.2.1	Process of interaction with the media	Destroy 3 years from closure		Common Practice
Public relations	Media Relations	B.8.2.2	Media publications concerning Local Authorities	Permanent. Offer to Archivist. Transfer to Essex Record Office after administrative use is concluded.	Press cuttings Media reports	Common Practice
Public relations	Publications	B.8.1.1	The process of designing setting information for publication.	Destroy 3 years from last action		Common Practice
Public relations	Publications	B.8.1.2	The published work of the local authority	Destroy after administrative use is concluded. Note: One copy from the initial print run should go directly to the archive.		Common Practice
Quality and performance management		B.7.1.1	The process of monitoring or reviewing the quality, efficiency, or performance of a local authority service or unit.	Destroy 5 years from closure	Best Value Review	Common Practice
Quality and performance management		B.7.1.2	The process of assessing the quality, efficiency, or performance of a local authority service or unit.	Destroy 2 years from closure	Assessment form	Common Practice
Statutory returns		B.2.1.1	The process of preparing information to be passed on to central government as part of statutory requirements	Destroy 7 years from closure	Reports to Central Government	Common Practice.

Planning and Land Use

Level 2	Level 3	ECC Ref	Process	Action	Record Types	Reason
Planning Scheme Development and Amendment		J.1.1.1	The activity of developing a vision and strategic directions regarding existing and future land use within the Local Authority and the development of local and town centre plans to ensure the implementation of the Structure Plan	Permanent. Offer to Archivist. When plan superseded, Transfer to Essex Record Office after administrative use is concluded.	Structure Plan	Common practice
					Local Plan	
					Town Centre Plans	
					Unitary Development Plans	
Planning Scheme Development and Amendment		J.1.1.2	The activity of consultation to gain approval for the Structure Plan (Unitary Development Plans) or Local Plans	Permanent. Offer to Archivist for review after 3 years. Transfer to Essex Record Office after administrative use is concluded	Consultation documents and replies	Common practice
					Inquiries and objections made by members of public	
					Public Inquiry documents	
Planning Scheme Development and Amendment		J.1.1.3	The activity of recording information on historical buildings, monuments and ecology at a specific site.	Permanent. Offer to Archivist for review. Transfer to Essex Record Office after administrative use is concluded.	Sites and Monuments records	Common practice
					Ecological records	
					Species records	
					Historically listed buildings	
					Definitive map	
Planning Scheme Development and Amendment		J.1.1.4	The activity of establishing planning scheme controls and providing for them to be amended.	Permanent. Offer to Archivist. Transfer to Essex Record Office after administrative use is concluded.	Successful Waste Planning Application	Common practice
					Successful Mineral Planning applications	
					Amendments to definitive map	
					Mineral Register	
					Applications for mineral extraction	
					Land Use surveys	

Planning Scheme Development and Amendment		J.1.1.5	The process of receiving, considering and responding to submissions and objections to planning schemes and amendments	Destroy 15 years after decision. Offer controversial/ high profile schemes to Archivist	Waste Planning Application consultation	Common practice
					Mineral Planning applications consultation	
					Objections Inquiries – Public etc	
					Archaeological; advice/conditions	
Planning Scheme Development and Amendment		J.1.1.6	The process of controlling development of areas through applications for planning permission	Transfer planning application register to Archivist once the register has been completed (or at arranged intervals if it is held electronically) Refer all other records to Archivist for sampling	Planning application files and plans	Common practice
					Correspondence relating to any objections	
					Hearing papers	
					Planning application register	
Planning Scheme Development and Amendment		J.1.1.7	The process of maintaining the countryside and developing open spaces for public amenity	Refer all files relating to policy to the Archivist Destroy other files 7 years after administrative use concluded	Tree preservation orders	Common practice
					Country parks and nature reserve development plans and correspondence, land purchase agreements	
Planning Scheme Regulation		J.2.1.1	The summary management of planning scheme regulation	Permanent. Offer to Archivist. Transfer to Essex Record Office after administrative use is concluded.	Building Control Registers	Common practice
Planning Scheme Regulation		J.2.1.2	The process of regulating the planned use of land or buildings.	Destroy 15 years after closure		Common practice
Planning Scheme Regulation		J.2.1.3	The process of approving building applications in relation to listed or other significant buildings.	Permanent. Offer to Archivist for review. Transfer to Essex Record Office after administrative use is concluded.	Building Files Plans Specifications Correspondence Applications Permits Certificates	Common practice

Planning Scheme Regulation		J.2.1.4	The process of approving building applications, for all other buildings	Destroy 15 years after construction complete.	Building Files Plans Specifications Correspondence Applications Permits Certificates Objections	Common practice
-----------------------------------	--	---------	---	---	---	-----------------

Property and Land Management

Level 2	Level 3	ECC Ref	Process	Action	Record Types	Reason
Insurance	Claims Management	H.8.2.1	The process that records insurance claims against the Local Authority or Local Authority Officers	Destroy 7 years after all obligations/entitlements are concluded (allowing for the claimant to reach 25 years of age)	Claims records Correspondence	
Insurance	Policy Management	H.8.1.1	The summary management of insurance arrangements	Permanent. Offer to Archivist. Transfer to Essex Record Office after administrative use is concluded.	Insurance Register	
Insurance	Policy Management	H.8.1.2	The process of insuring Local Authorities Officers, property, vehicles and equipment against negligence, loss or damage	Destroy 7 years after the terms of the policy have expired	Insurance Policies Correspondence	
Insurance	Policy Management	H.8.1.3	The process of renewing insurance policies	Destroy 5 years after the insurance policy has been renewed	Insurance Policy Renewal Records Correspondence	
Leasing and Occupancy		H.4.1.1	The process of managing leased property	Destroy 15 years after the expiry of the lease	Lease Agreements Rental Expenditure Authorities Valuation Queries Applications for Leases, Licences & Rental Revision	Common practice
Leasing and Occupancy		H.4.1.2	The process of managing the occupancy of property	Destroy 7 years after the conclusion of the transaction that the record supports	Requests for Works, Cleaning, etc.	Common practice

Property Acquisition and Disposal		H.2.1.1	Management of the acquisition (by financial lease or purchase) process for real Property	Retain for life of property or building plus 12 years. Offer material re major/significant properties to Archivist for review	Plans	Common practice
Property Acquisition and Disposal		H.2.1.2	Management of the disposal (by sale or write off) process for real Property	Destroy 15 years after all obligations/entitlements are concluded. . Offer material re major/significant properties to Archivist for review	Title Deeds Legal Documents relating to the Sale Particulars of Sale Documents Board of Survey Tender Documents Conditions of Contracts	Common practice
Property and Land Management		H.1.1.1	Reports to management on overall property of the Local Authority	Permanent. Offer to Archivist. Transfer to Essex Record Office after administrative use is concluded.	Consolidated Property & Buildings Annual Reports Summary of Leased Property Summary of Local Authorities Owned Property Site Register Register of Leases	Common practice
Property Development and Renovation		H.3.1.1	The process of managing and undertaking renovations and development of property	Permanent. Offer to Archivist. Transfer to Essex Record Office after administrative use is concluded.	Project Specifications Plans Installation Manuals Certificates of Approval	Common practice
Property Development and Renovation		H.3.1.2	The process of managing and undertaking renovations and development of property management: all other buildings and	Retain for life of property or building	Project Specifications Plans Installation Manuals	Common practice For asbestos see

			estates		Certificates of Approval	under general public services
Property Development and Renovation		H.3.1.3	The action process involved in the development and renovation of property.	Destroy 7 years after the conclusion of the transaction that the record supports	Work Orders	Common practice
					Tender Documents	
					Conditions of Contracts	
			Inspections of plant, machinery or premises to check safety requirements.	Date of last entry, or 12 months from the date of the last review, + 3 years. If used in any legal case (whether criminal or civil), until all legal action has been completed and no appeal is likely or possible.	Inspections, audits and certificates, whether by internal staff or contractors.	Insurance Requirement

		Safe occupation, management and decommissioning of an asset (buildings and structures including the highway).	Throughout the life of the building (i.e. until either demolished, de-commissioned or disposed of to another owner).	<p>All contents of the health and safety file e.g.</p> <p>Description of the CDM project;</p> <p>Surveys or other information concerning asbestos, contaminated land or buried services).</p> <p>Key structural principles and safe working loads for floors and roofs.</p> <p>Hazardous materials used;</p> <p>Information regarding the safe removal or dismantling of installed plant and equipment;</p> <p>Equipment provided for cleaning or maintaining the structure.</p> <p>Nature, location and markings of significant services,</p> <p>As-built drawings of the building, its plant and equipment.</p>	Statutory – Construction (Design and Management) regulations 2015.
--	--	---	--	---	--

			Asbestos Management		Asbestos Management Plans; Asbestos Surveys; All works carried out on, or removal of, Asbestos Containing Materials; Asbestos Containing Materials inspection and condition monitoring records.	ECC Policy to treat as part of the health and safety file – see above.
			Fire Safety Management	Whilst still relevant – until reviewed or repeated.	Fire Risk Assessment; Fire Evacuation Procedures; Fire log book.	Statutory
				None – No longer required.	Fire Certificates	None
			Legionella Management	At least 2 years from the last entry in each	Water Risk Assessments Written Scheme of inspection and maintenance; Monitoring checks & results.	Statutory
Transport Management	Vehicle Management	H.7.1.1	The process of acquisition and disposal of vehicles through lease or purchase	Destroy 7 years after the disposal of the vehicle	Leases	
					Contracts	
					Quotes	
					Approvals	
					Fleet Authorisation Numbers	
Transport Management	Vehicle Management	H.7.1.2	The process of managing allocation & maintenance of vehicles	Destroy 7 years after the sale or disposal of the vehicle	Approvals as Drivers	
					Allocations & Authorisations for Vehicles	
					Maintenance	
Transport Management	Vehicle Management	H.7.1.3	The process of recording vehicle usage	Destroy 3 years after the sale or disposal of the vehicle	Vehicle Usage Reports	

Transport Management	Vehicle Management	H.7.1.4	The process of recording drivers usage	Destroy 7 years after closure	Vehicle Log book	
-----------------------------	---------------------------	---------	--	-------------------------------	------------------	--

Statutory Services

Level 2	Level 3	ECC Ref	Process	Action	Record Types	Reason
Coroners	Coroner's Case Work	E.1.1.1	The process and actions of inquiring into deaths which do not proceed to an inquest.	Destroy 15 years after last action	Coroners case files	Set by Public Record Office
Coroners	Coroner's Case Work	E.1.1.2	The process and actions of inquiring into deaths which proceed to an inquest.	Permanent. Offer to Archivist for review. Transfer to Essex Record Office after administrative use is concluded	Coroners case files Reported deaths register	Set by Public Record Office Can be sampled according to set a precedent in law or practice; Relate to an individual, accident or crime subject to prolonged or repeated interest from the national media.
Coroners	Treasure Trove	E.1.3.1	The process and actions of Treasure inquests.	Destroy 2 years after last action		Set by Public Record Office
Registrars of Births Deaths and Marriages	Marriage Services	E.2.1.1	Process of conducting a marriage service	Destroy 3 years after last action		Common practice
Registrars of Births Deaths and Marriages	Notices	E.2.2.1	Process of notification in relation to birth, death or marriage.	Destroy 2 years after last action	Wedding banns Notice of marriage	Common practice
Registrars of Births Deaths and	Registration	E.1.1.2	Process of certification of the registration of a birth, death or marriage.	Destroy 7 years after last action	Birth certificate Death certificate	Common practice

Marriages					Marriage certificate	
Registrars of Births Deaths and Marriages	Registration	E.2.3.1	Process of the summary registration of a birth, death or marriage	Permanent. Offer to Archivist. Transfer to Essex Record Office after administrative use is concluded	Deaths register	Common practice
					Births register	
					Marriage register	