

ECL Retention Schedule

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1. Introduction

The ECL Retention Schedule identifies 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 will be destroyed in accordance with the provisions of the schedule. Backup copies stored on alternative media (server/paper) will also be destroyed. This is vital to ensure compliance with the requirements of The General Data Protection Regulation 2016, Data Protection Act 2018 and Freedom of Information Act 2001.

2. Aims of the Retention Guidelines

The aims of these Guidelines 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 ECL which gives the public confidence that when information is destroyed it is done so according to well-considered rules.

3. 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 subject of a Freedom of Information, Data Protection, Environmental Information Regulations etc. official request or appeal, 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.

4. 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 ECL 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.

5. Systems

ECL uses various systems to record and store personal and sensitive information, below is a list of the current systems ECL uses and their functions.

System Name	Records Stored e.g. customer, staff, finance etc.	Function e.g. payroll, HR, compliance etc.
Access people planner	Staff Customer	Care Finance (mileage)
Access care planner	Staff Customer	Care
Access Expenses	Staff Financial	Payroll Company credit cards
Access financial operations	Staff Customer Supplier Financial	Invoicing
Access learning	Staff Supplier	Training compliance
Access recruit	Applicants Staff	HR Recruitment
Access select HR	Staff Financial	HR Finance Payroll PMR
Access CRM	Staff Customer Supplier Third party	Marketing
Bravo	Tender documents	Procurement
Fresh service	Staff Customer Buildings Health & Safety IT	Facilities Management IT
RADAR	Staff Customer Buildings Health & Safety	Compliance

6. Reviewing the Schedule

The schedule will be regularly reviewed and updated to ensure that ECL is complying with the latest guidance or legislation. Changes will be informed 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.

7. Glossary of terms used

Below is a glossary of the terms ECL uses to describe information related to a record.

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.

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.

Last Action

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

Health & Safety			
Process	Retention Period	Record Type	Source
Risk assessment	Destroy 6 years from date of the assessment	Risk Assessments	Best Practice HSE Guidance
Asbestos management	Destroy 40 Years from last action	Property asbestos files	ECL review
Process that records injuries to an individual.	Destroy 6 years from closure (25 years for Children)	Incident forms and investigation and subsequent evidence relating to these.	Best Practice HSE Guidance

Customer			
Process	Retention Period	Record Type	Source
Customers who have received support services provided by ECL.	Destroy 6 years from last contact	All customer records both paper and electronic	ECL review
Customer Satisfaction Returns.	End of financial year + 6 months	Paper customer satisfaction questionnaire Electronic form	ECL practice

Waste Management			
Process	Retention Period	Record Type	Source
Household/business waste collection.	Destroy 3 years from last action	Waste transfer notices	The Controlled Waste (England and Wales) Regulations 2012
Electrical waste collection.	Destroy 5 years from last action	Waste transfer notices	Waste Electrical and Electronic Equipment regulations
Controlled waste.	Destroy 5 years from last action	Waste transfer notices	The Controlled Waste (England and Wales) Regulations 2012

General			
Process	Retention Period	Record Type	Source
Access to Records under the General Data Protection Regulation.	Closure + 5 Years	Subject Access Request File	ECL review
Access to Records under Freedom of Information Act.	Closure +1 Year	Freedom of Information Request File	ECL review
CCTV records once removed from the system	Date of incident/last action + 6 years	DVD Disc USB drive	ECL practice
Records of compliments and complaints	Last action + 3 years	Electronic records Emails Correspondence	ECL review

Staff Files (HR Records)			
Process	Retention Period	Record Type	Source
Staffing files and information (DBS Checked staff).	To be returned to HR and to be kept for 25 years from end of employment then destroy	Combined staff file	ECL review
Staffing files and information (Non-DBS Checked staff).	To be returned to HR and to be kept for 7 years from end of employment then destroy	Combined staff file	ECL review
Right to work documentation.	To be returned to HR and to be kept for 2 years from end of employment then destroy	Right to work documents	Immigration, Asylum and Nationality Act 2006
Monitoring of working environments.	Destroy 40 years from last assessment		Statutory Health & Safety at work act 1974
Unsuccessful applicants	Destroy 6 months after date of application	Access system Paper interview notes Electronic interview notes	ECL review

Procurement			
Process	Retention Period	Record Type	Source
The process of awarding a contract.	6 Years after the terms of contract have expired	Signed contract Signed contract under seal	Statutory
Contract operation and monitoring.	2 Years after the terms of contract have expired	Service Level Agreements	ECL review
Summary tender evaluation criteria.	6 years after the terms of contract have expired	Evaluation criteria	Statutory
Successful Tender Document.	6 years after the terms of contract have expired	Tender documents	Statutory
Unsuccessful tender document.	Destroy 1 Year after start of contract	Tender documents	ECL review
The process of renewing insurance policies.	Destroy 5 years after the insurance policy has been renewed	Insurance policy renewal records	ECL review
Waivers and Extensions	6 Years after the terms of contract have expired	Waiver and Extension Form	ECL review

Finance			
Process	Retention Period	Record Type	Source
Purchase order information.	Destroy 6 years after the conclusion of the financial transaction that the record supports	Invoices	Statutory
Creating a new invoice/credit note for a customer.	Destroy 6 years after the conclusion of the financial transaction that the record supports	Invoices	Statutory
Processing staff pensions.	Destroy 6 years after the conclusion of the financial transaction that the record supports	Electronic return	Statutory
Real time information reporting.	Destroy 6 years after the conclusion of the financial transaction that the record supports	Electronic return	Statutory
Finance Paperwork.	Destroy 6 years after the conclusion of the financial transaction that the record supports	Banking returns Daily record sheets Weekly record sheets Cash reconciliation sheets Paying in books Bank statements	Statutory
Amenity fund paperwork.	Destroy 6 years after the conclusion of the financial transaction that the record supports	Record sheets Bank statements Paying in books	Statutory
VAT and Tax returns	Destroy 6 years after the conclusion of the financial transaction that the record supports	P11D	Statutory

Committee Meeting Documentation			
Process	Retention Period	Record Type	Source
The process of preparing business for ECL consideration and making the record of discussion, debate and resolutions.	Permanent offer to archivist	Board minutes SLT minutes Audit committee minutes Agendas and papers	ECL review
Taking of minutes in draft format.	Destroy after date of confirmation of the minutes	Draft/Rough minutes	ECL review

Equipment Service			
Process	Retention Period	Record Type	Source
Customer records.	Destroy after 6 years of last action.	Technicians assessment Referrals from commissioners Adaption requests Risk assessments for equipment	Statutory
Driver and equipment return records.	Destroy 3 years from date of return	Driver paperwork	ECL review
Stock transfers.	Destroy 1 year from date on form	Stock transfer form	ECL review
What we have sent to scrap.	Destroy 5 year from date on form	Scrap sheets	The Controlled Waste (England and Wales) Regulations 2012
Delivery collection information.	Paper record 3 months from delivery date. Electronic record 6 years from delivery date.	Delivery collection sheet	ECL review
Bank stock request	3 months from request	Bank stock request form	ECL review
External contractor stock request.	Paper record 3 months from request. Electronic record 6 years from request.	External contractor stock request form	ECL review
Stock reconciliation.	1 year from last action	Stock reconciliation sheets	ECL review
Stock take sheets.	6 years from date of last action.	Stock take sheets	ECL review
Vehicle lease information.	6 years from end of current contract.	Vehicle lease documents	Statutory
Process of maintaining plant and equipment.	Destroy 7 years after sale/disposal of asset	Plant/Equipment service records	Provision and Use of Work Equipment Regulations 1998
Process of inspecting equipment to ensure it is safe.	Destroy 6 years from destruction of equipment	Equipment inspection records	Lifting Operations and Lifting Equipment Regulations 1998