

Records Retention Schedule

Children & Lifelong Learning
County Grounds



Information Governance Unit
Version 1.0 November 2006

To submit comments, or to request additional paper copies, please contact:

**Information Governance Unit
Law & Governance
Friars Terrace
Stafford
ST17 4AY**

Telephone: (01785) 278326

Staffordshire County Council asserts its right to be identified as the author of this Retention Schedule, and a statement to this effect must be clearly displayed when reproducing all or any of this material.

Disclaimer: Staffordshire County Council accepts no liability if this Retention Schedule is used by individuals or organisations outside of the Authority.

Contents

Introductory Notes	Page
What is a Retention Schedule?	i
Retention Schedules and the Freedom of Information Act 2000	ii
Understanding the Retention Schedule	iii
Using the Retention Schedule	iv
Responsibility for Implementation	vi
Retention Schedule Contents	vii
Retention Schedule	1

What is a Retention Schedule ?

- A retention schedule is a list of records which need to be retained by the County Council for a designated period of time. The Retention Schedule shows the title of each record, a time period for which records are to be retained, and identifies the reason (legislative, regulatory and / or operational) on which retention is based.
- The existence of this Retention Schedule is a requirement of Staffordshire County Council's Corporate Records Management Policy. It has been developed by the Information Governance Unit in collaboration with Business Unit / Section Managers, and in partnership with Legal Services.
- The Retention Schedule provides consistent instructions for all staff who deal with records, and a formal policy for records retention and disposal. It is not, however, immutable and divergences from the schedule may be appropriate in certain circumstances, so long as liaison is made with the Law & Governance Director.
- Official guidelines on the retention of records used by the majority of SCC Units (including Health & Safety, Personnel, Contractual and Financial Records) can be found in the Staffordshire County Council *General Retention Schedules*, available on the Corporate Intranet Site. The Information Governance Unit is currently working with individual Business Units to produce Retention Schedules which list records specific to each unit.

"A records management service should include the drawing up of retention schedules for all classes of the authority's records and the systematic disposal of those no longer of administrative use...."

Guidance on Section 224, Local Govt Act 1972
Issued by the Office of the Deputy Prime Minister, 2000

"Each department will require its respective business units to:

- *Ensure the capture of records (both paper and electronic) that provide evidence of its functional activities.*
- *Establish retention schedules for all areas of work."*

SCC Corporate Records Management Policy

Retention Schedules and the Freedom of Information Act 2000

- The Freedom of Information Act 2000 is intended to promote a culture of openness and accountability amongst public authorities by providing people with rights of access to records held by Staffordshire County Council.
- From 1 January 2005, the County Council must comply with requests for the information that it holds unless an exemption from disclosure applies. The Authority will normally have a maximum of twenty working days to respond to the request, however there are circumstances when this time limit can be extended.
- The Lord Chancellor has also issued a Code of Practice under Section 46 of the Freedom of Information Act, setting out his views on desirable practice for the keeping, management and disposal of public authority records. The Code of Practice includes a requirement to develop and apply Records Retention Schedules.
- Any freedom of information legislation is only as good as the quality of the records to which it provides access. Such rights are of little use if reliable records are not created in the first place, if they cannot be found when needed or if the arrangements for their disposal are inadequate.

“An appraisal documentation system will ensure consistency in records appraisal and disposal. It should show what records are designated for destruction, the authority under which they are to be destroyed and when they are to be destroyed.

It should also provide background information on the records, such as legislative provisions, functional context and physical arrangement.

Lord Chancellor’s Code of Practice on the Management of Records, issued under Section 46 of the Freedom of Information Act 2000

“As from January 2005 , anyone will have a new legal right to request access to any information held by any public body.....My message to all public bodies is: Get your Act together. Prepare now. Don't panic later.”

Richard Thomas, Information Commissioner,
May 2003

Understanding the Retention Schedule

- The Information Governance Unit produces Records Retention Schedules for every Business Unit in Staffordshire County Council, and they all follow a similar format. The graphic below demonstrates how to interpret the schedule:

Records	Action	Retention Period	Trigger (event that prompts start of Retention Period)	Authority guiding record creation & retention
Directorate Activity: Research				
Research & Analysis				
Strategic Corporate Issues	Destroy	6 Years	Date Created	SCC Business Need
Economic Research & Analysis	Destroy	6 Years	Date Created	SCC Business Need
Demographic Research & Analysis	Destroy	6 Years	Date Created	SCC Business Need
Traffic Data Collection & Analysis	Destroy	6 Years	After survey completion	Limitation Act 1980

Types of Record

Action(s) once record has exceeded its retention period

Amount of time for which record should be retained

Event that triggers the start of the retention period

Legal / Regulatory / Business need guiding retention

Description of process

Using the Retention Schedule

This Retention Schedule has been developed to be used in the following ways:



When new records are created

The Retention Schedule should be used as a point of reference in the day-to-day management of records. The most effective point to decide how long a record should be retained, and for what reason, is when that record is created.

When opening a new file, creating an electronic record, or typing a letter, this Retention Schedule will act as a guide to the conditions under which that Record should be managed, stored and ultimately disposed of.



When configuring an electronic records management system

Any Electronic Document & Records Management System should manage not only paper records, but ensure that all legal and business requirements are met in terms of the retention, security and disposal of all electronic records (including e-mail, electronic forms, web site content and images).

The integration of electronic records management into existing business systems must include proper consideration of Retention Schedules to provide a set of consistent legal and operational requirements.



When designing or implementing new paper filing systems.

Any new office system intended to improve the efficiency of paper filing should be designed with a clear understanding of the legal and business requirement for record keeping and when they should eventually be destroyed.

When transferring files to off-site storage



Office space is at a premium and it is rarely possible to retain files on-site for the length of time for which they have to be retained.

The Retention Schedule should always be consulted when transferring files to the Staffordshire County Council Records Centre at Friars Terrace.

When destroying files



In order to protect itself and minimise risk, all businesses should not maintain records longer than they need to; nor should they destroy records sooner than is required

The Retention Schedule provides consistent guidelines on the retention period of all County Grounds records.

Responsibility for Implementation

When a record has reached the end of its specified retention period, a designated person needs to be responsible as the signatory for the destruction process where destruction is the specified action.

In implementing retention policy reference should be made to both generic schedules, for records used by several directorates (which cover corporate contractual, financial, health & safety and personnel records*) and the specific schedules, pertaining to only one particular Department/Service.

The schedules should be regularly updated to account for any changes to business practice and must be reviewed annually as a matter of course.

The responsible authority for this schedule is:

Director (Law & Governance)

Retention Schedule Contents

	Activity	Page
CLL-CG-1	Grounds Maintenance Service Provision	1
CLL-CG-1-1	Site maintenance specification development	1
CLL-CG-1-2	Operational procedures development	1
CLL-CG-1-2-1	Site risk assessment	1
CLL-CG-1-2-2	Procedures development	1
CLL-CG-1-3	Works scheduling	1
CLL-CG-1-4	Grounds maintenance operations	2
CLL-CG-1-5	Performance monitoring	2
CLL- CG-1-6	Chemical storage & use	2
CLL-CG-1-6-1	Chemical storage	2
CLL-CG-1-6-2	Risk assessment	2

CLL-CG-1-6-3	Chemical use	2
CLL-CG-1-7	Equipment management	3
CLL-CG-1-7-1	Equipment inspection and testing	3
CLL-CG-1-7-2	Defects reporting	3
CLL-CG-1-7-3	Equipment maintenance & repair	3
CLL-CG-1-8	Vehicle fleet management	3
CLL-CG-1-8-1	Vehicle inspection & testing scheduling	3
CLL-CG-1-8-2	Daily inspection	3
CLL-CG-1-8-3	Defects reporting	3
CLL-CG-1-8-4	Vehicle maintenance & repair	3
CLL-CG-1-8-5	Vehicle accidents reporting	4
CLL-CG-1-9	Fuel storage and dispensing	4
CLL-CG-1-9-1	Fuel stock management	4
CLL-CG-1-9-2	Fuel storage risk assessment	4

CLL-CG-1-9-3	Fuel dispensing risk assessment	4
CLL-CG-1-10	Driver management	4
CLL-CG-1-10-1	Driver log maintenance & inspection	4
CLL-CG-1-10-2	Driving license inspection	5

Direct Services - Country Grounds Retention Schedule

Records	Action	Retention Period	Trigger (event that prompts start of Retention Period)	Authority guiding record creation & retention
Directorate Activity: Grounds Maintenance Services Provision				CLL-CG-1
Site maintenance specification development				CLL-CG-1-1
Site maintenance specification development	Destroy	6 years	After superseded	Limitation Act 1980
Operational procedures development				CLL-CG-1-2
Site risk assessment	Destroy	6 years	After superseded	Limitation Act 1980
Procedures development	Destroy	6 years	After superseded	Limitation Act 1980
Work scheduling				CLL-CG-1-3
Work scheduling	Destroy	2 years	End of year	Business Need

Records	Action	Retention Period	Trigger (event that prompts start of Retention Period)	Authority guiding record creation & retention
Grounds maintenance operations				CLL-CG-1-4
Grounds maintenance	Destroy	6 years	End of year	Business need
Performance monitoring				CLL-CG-1-5
Performance monitoring	Destroy	6 years	End of year	Limitation Act 1980
Chemical storage & use				CLL-CG-1-6
Chemical storage	Destroy	40 years	Date closed	Control of Substances Hazardous to Health Regulations 2002
Risk assessment	Destroy	40 years	After superseded	Control of Substances Hazardous to Health Regulations 2002
Chemical use	Destroy	40 years	Date created	Control of Substances Hazardous to Health Regulations 2002

Records	Action	Retention Period	Trigger (event that prompts start of Retention Period)	Authority guiding record creation & retention
Equipment management				CLL-CG-1-7
Equipment inspection and testing scheduling	Destroy	6 years	Disposal of equipment	SCC Business need Transport Act 1968
Defects reporting	Destroy	6 years	Disposal of equipment	Limitation Act 1980 Transport Act 1968
Equipment maintenance & repair	Destroy	6 years	Disposal of equipment	Limitation Act 1980 Transport Act 1968
Vehicle fleet management				CLL-CG-1-8
Vehicle inspection & testing scheduling	Destroy	6 years	Disposal of vehicle	Limitation Act 1980 Transport Act 1968
Daily inspection	Destroy	6 years	Disposal of vehicle	Limitation Act 1980 Transport Act 1968
Defects reporting	Destroy	6 years	Disposal of vehicle	Limitation Act 1980 Transport Act 1968
Vehicle maintenance & repair	Destroy	6 years	Disposal of vehicle	Limitation Act 1980

Records	Action	Retention Period	Trigger (event that prompts start of Retention Period)	Authority guiding record creation & retention
				Transport Act 1968
Vehicle accidents reporting	Destroy	6 years	Termination of insurance policy	Limitation Act 1980 Transport Act 1968
Fuel storage & dispensing				CLL-CG-1-9
Fuel stock management	Destroy	6 years	End of financial year	SCC Financial Regulations
Fuel storage risk assessment	Destroy	6 years	End of financial year	The Management of Health and Safety at Work Regulations 1992
Fuel dispensing risk assessment	Destroy	6 years	End of financial year	The Management of Health and Safety at Work Regulations 1992
Driver management				CLL-CG-1-10
Driver log maintenance & inspection	Destroy	1 year	End of year	Transport Act 1968 Drivers of Heavy Goods Vehicles

Records	Action	Retention Period	Trigger (event that prompts start of Retention Period)	Authority guiding record creation & retention
				(keeping of Records) Regulations 1987
Driving licence inspection	Destroy	6 years	Termination of contract	Transport Act 1968 Drivers of Heavy Goods Vehicles (keeping of Records) Regulations 1987