

# Records Retention Schedule

Children & Lifelong Learning  
Early Years and Childcare Unit



Information Governance Unit  
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**To submit comments, or to request additional paper copies, please contact:**

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

**Telephone: (01785) 278326**

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## 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 Head of Information Governance or 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

*"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
<b>Directorate Activity: Research</b>				
<b>Research &amp; Analysis</b>				
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 Early Years and Childcare Unit 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

<b>Function Ref.</b>	<b>Function/ Activity</b>	<b>Page</b>
<b>CLL/EY/1</b>	<b>Child care provider and prospective provider advice and support</b>	<b>1</b>
<b>CLL/EY/1/1</b>	<b>Advice and support provision</b>	<b>1</b>
CLL/EY/1/1/1	Advice provision	1
CLL/EY/1/1/1/1	Business support	1
CLL/EY/1/1/1/2	Child care advice	1
CLL/EY/1/1/2	Support provision	1
CLL/EY/1/1/2/1	Child care provider registration support	1
CLL/EY/1/1/2/2	Childminder registration support	1
CLL/EY/1/1/3	Child carer support network administration	1
CLL/EY/1/1/3/1	Childminder network administration	1
CLL/EY/1/1/3/2	Childminder network standards monitoring	1
<b>CCL/EY/1/2</b>	<b>Financial support</b>	<b>2</b>

CLL/EY/1/2/1	Grant provision	2
CLL/EY/1/2/1/1	Child care grant application administration	2
CLL/EY/1/2/1/2	Grant application appeals administration	2
CLL/EY/1/2/1/3	Grants recovery	2
<b>CLL/EY/1/3</b>	<b>Training provision</b>	<b>2</b>
CLL/EY/1/3/1	Training provision	2
CLL/EY/1/3/1/1	Training programme development	2
CLL/EY/1/3/1/2	Course development and evaluation	2
CLL/EY/1/3/1/3	Training venue and resource booking administration	3
CLL/EY/1/3/1/4	Course booking administration	3
CLL/EY/1/3/1/5	Course delivery	3
<b>CLL/EY/2</b>	<b>Parental Support</b>	<b>3</b>
<b>CLL/EY/2/1</b>	<b>Advice provision</b>	<b>3</b>
CLL/EY/2/1/1	Advice	3
CLL/EY/2/1/2	Parent support	3
CLL/EY/2/1/3	Support programme admissions administration	3

<b>CLL/2/2</b>	<b>Training provision</b>	<b>4</b>
CLL/EY/2/2/1	Training programme development	4
CLL/EY/2/2/2	Course development and evaluation	4
CLL/EY/2/2/3	Training venue and resource booking administration	4
CLL/EY/2/2/4	Course booking administration	4
CLL/EY/2/2/5	Course delivery	4
<b>CLL/EY/3</b>	<b>Child care provision</b>	<b>4</b>
<b>CLL/EY/3/1</b>	<b>Child care admissions administration</b>	<b>4</b>
CLL/EY/3/1/1	Needs assessment	4
CLL/EY/3/1/2	Admissions administration	4
CLL/EY/3/1/3	Personal information maintenance	4
<b>CLL/EY/3/2</b>	<b>Child care &amp; education provision</b>	<b>5</b>
CLL/EY/3/2/1	Activity planning	5
CLL/EY/3/2/2	Attendance recording	5
CLL/EY/3/2/3	Child care	5

CLL/EY/3/2/4	Medication administration	5
<b>CLL/EY/3/3</b>	<b>Child development and welfare monitoring</b>	<b>5</b>
CLL/EY/3/3/1	Child development & welfare monitoring	5
CLL/EY/3/3/2	Referrals administration (to other agencies)	5
<b>CLL/EY/3/4</b>	<b>Child education progress monitoring</b>	<b>5</b>
CLL/EY/3/4/1	Child education progress monitoring	5
CLL/EY/3/4/2	Referrals administration (to other agencies)	5
<b>CLL/EY/4</b>	<b>Marketing</b>	<b>6</b>
CLL/EY/4/1	Press release & editorial publication preparation	6
CLL/EY/4/2	Advertising & media buying	6
CLL/EY/4/3	Advertising distribution	6
<b>CLL/EY/5</b>	<b>Human resources management</b>	<b>6</b>
<b>CLL/EY/5/1</b>	<b>Volunteer recruitment and training</b>	<b>6</b>
CLL/EY/5/1/1	Support childminder recruitment and training	6

## Early Years and Childcare Unit Retention Schedule

Records	Action	Retention Period	Trigger (event that prompts start of Retention Period)	Authority guiding record creation & retention
<b>Directorate Activity: Child care provider and prospective provider advice and support</b>				<b>CLL/EY/1</b>
<b>Advice and support provision</b>				<b>CLL/EY/1/1</b>
<b>Advice provision</b>				<b>CLL/EY/1/1/1</b>
Business support	Destroy	6 years	Date created	Limitation Act 1980
Child care advice	Destroy	6 years	Date created	Limitation Act 1980
<b>Support provision</b>				<b>CLL/EY/1/1/2</b>
Child care provider registration support	Destroy	6 years	Date created	Limitation Act 1980
Childminder registration support	Destroy	6 years	Date created	Limitation Act 1980
<b>Child carer support network administration</b>				<b>CLL/EY/1/1/3</b>
Childminder network administration	Destroy		After superseded	Business need
Childminder network standards monitoring	Destroy	6 years	From date of visit	SCC Business Need NCMA Quality Standards

Records	Action	Retention Period	Trigger (event that prompts start of Retention Period)	Authority guiding record creation & retention
<b>Financial support</b>				<b>CLL/EY/1/2</b>
<b>Grant provision</b>				<b>CLL/EY/1/2/1</b>
Child care grant application administration	Destroy	6 years (unless longer period specified by external grant funding body)	End of current financial year	SCC Financial regulations
Grant application appeals administration	Destroy	6 years	Date closed	SCC Financial regulations
Grants recovery	Destroy	6 years	End of current financial year	SCC Financial regulations
<b>Training provision</b>				<b>CLL/EY/1/3</b>
<b>Training provision</b>				<b>CLL/EY/1/3/1</b>
Training programme development	Destroy	6 years	After superseded	SCC Business Need
Course development and evaluation	Destroy	6 years	After superseded	SCC Business Need

<b>Records</b>	<b>Action</b>	<b>Retention Period</b>	<b>Trigger (event that prompts start of Retention Period)</b>	<b>Authority guiding record creation &amp; retention</b>
Training venue and resource booking administration	Destroy	6 years	Date closed (date of training course/event)	SCC Business Need SCC Financial regulations
Course booking administration	Destroy	6 years	Date closed (date of training course/event)	SCC Business Need SCC Financial regulations
Course delivery	Destroy	6 years	Course competition	SCC Business Need
<b>Directorate Activity: Parental support</b>				<b>CLL/EY/2</b>
<b>Advice provision</b>				<b>CLL/EY/2/1</b>
Advice	Destroy	6 years	Date created	Business Need
Parent support	Destroy	6 years	Date created	Business Need
Support programme admissions administration	Destroy	6 years	Date closed	SCC Business Need

<b>Records</b>	<b>Action</b>	<b>Retention Period</b>	<b>Trigger (event that prompts start of Retention Period)</b>	<b>Authority guiding record creation &amp; retention</b>
<b>Training provision</b>				<b>CLL/EY/2/2</b>
Training programme development	Destroy	6 years	After superseded	SCC Business Need
Course development and evaluation	Destroy	6 years	After superseded	SCC Business Need
Training venue and resource booking administration	Destroy	6 years	Date closed (date of training course/event)	SCC Business Need SCC Financial regulations
Course booking administration	Destroy	6 years	Date closed (date of training course/event)	SCC Business Need SCC Financial regulations
Course delivery	Destroy	6 years	Course competition	SCC Business Need
<b>Directorate Activity: Child care provision</b>				<b>CLL/EY/3</b>
<b>Child care admissions administration</b>				<b>CLL/EY/3/1</b>
Needs assessment	Destroy	25 years	Date of Birth	Limitation Act 1980
Admission administration	Destroy	25 years	Date of Birth	Limitation Act 1980
Personal information maintenance	Destroy	25 years	Date of Birth	Limitation Act 1980

<b>Records</b>	<b>Action</b>	<b>Retention Period</b>	<b>Trigger (event that prompts start of Retention Period)</b>	<b>Authority guiding record creation &amp; retention</b>
<b>Child care &amp; education provision</b>				<b>CLL/EY/3/2</b>
Activity planning	Destroy	6 years	After superseded	SCC Business Need DfES Guidance
Record of attendance	Destroy	3 years	After leaving setting	DfES Guidance
Record of care in Early Years setting	Review	25 years	Date of Birth	Limitation Act 1980 and Children Act 1989
Medication administration	Destroy	2 years	After leaving setting	Children Act 1989
<b>Child development and welfare monitoring</b>				<b>CLL/EY/3/3</b>
Child development and welfare monitoring	Destroy	25 years	Date of Birth	Limitation Act 1980
Referrals administration ( to other agencies)	Destroy	25 years	Date of Birth	Limitation Act 1980
<b>Child education progress monitoring</b>				<b>CLL/EY/3/4</b>
Child education progress monitoring	Destroy	25 years	Date of Birth	Limitation Act 1980
Referrals administration ( to other agencies)	Destroy	25 years	Date of Birth	Limitation Act 1980

<b>Records</b>	<b>Action</b>	<b>Retention Period</b>	<b>Trigger (event that prompts start of Retention Period)</b>	<b>Authority guiding record creation &amp; retention</b>
<b>Directorate Activity: Marketing</b>				<b>CLL/EY/4</b>
Press releases and editorial publication	Destroy	6 Years	Date created	SCC Business Need
Advertising and media buying	Destroy	6 years	Date created	SCC Business Need
Advertising distribution	Destroy	1 year	After end of year	SCC Business Need
<b>Directorate Activity: Human resources management</b>				<b>CLL/EY/5</b>
<b>Volunteer recruitment and training</b>				<b>CLL/EY/5/1</b>
Support childminder recruitment and training	Review	6 years	Following termination of contract	Limitation Act 1980