

Records Retention Schedule

Children & Lifelong Learning
Outdoor Education



Information Governance Unit
Version 1.0 November 2006

Staffordshire
County Council

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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 Deputy 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 |
|---------------------------------------|---------|------------------|--|---|
| 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

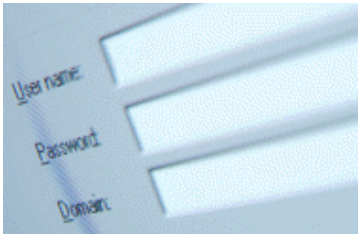
This Retention Schedule has been developed to be used in the following ways:



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 Outdoor Education's 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)

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Outdoor Education Retention Schedule

| Records | Action | Retention Period | Trigger (event that prompts start of Retention Period) | Authority guiding record creation & retention |
|---|---------|------------------|--|---|
| Directorate Activity: Outdoor Education Services Provision | | | | CLL/OED |
| Adventure activity provision | | | | CLL/OED/1 |
| Adventure activity provider licence application administration | | | | CLL/OED/1/1 |
| Adventure activity provider licence application administration | Destroy | 20 years | After superseded | Limitation Act 1980 Health and Safety of Pupils on Educational Visits, DfES 1998 |
| Activity & course development | | | | CLL/OED/1/2 |
| Activity & course development | | | | CLL/OED/1/2/1 |
| Activity / course development | Destroy | 20 years | After superseded | Limitation Act 1980 Health and Safety of Pupils on Educational Visits, DfES 1998 |

| Records | Action | Retention Period | Trigger (event that prompts start of Retention Period) | Authority guiding record creation & retention |
|---|---------|------------------|--|---|
| Activities risk assessment | | | | CLL/OED/1/2/2 |
| Activities risk assessment | Destroy | 20 years | After superseded | Limitation Act 1980 Health and Safety of Pupils on Educational Visits, DfES 1998 |
| Activity & course accreditation | | | | CLL/OED/1/2/3 |
| Activity & course accreditation | Destroy | 6 years | After superseded / terminated | Business need |
| Activity & courses programme development | | | | CLL/OED/1/3 |
| Activity & courses programme development | Destroy | 6 years | After superseded | SCC Business Need |
| Activity & course delivery | | | | CLL/OED/1/4 |
| Activity & course delivery | Destroy | 6 years | End of current academic year | SCC Business Need |

| Records | Action | Retention Period | Trigger (event that prompts start of Retention Period) | Authority guiding record creation & retention |
|--|---------|------------------|--|---|
| Accredited activity & course delivery | | | | CLL/OED/1/5 |
| Accredited activity & course delivery | Destroy | 6 years | End of current academic year | SCC Business Need |
| Attainment assessment | | | | CLL/OED/1/6 |
| Attainment assessment | Destroy | 6 years | End of current academic year | SCC Business Need |
| Activity & course evaluation | | | | CLL/OED/1/7 |
| Activity & course evaluation | Destroy | 6 years | End of current academic year | SCC Business Need |
| Educational visits management | | | | CLL/OED/2 |
| Visit planning | | | | CLL/OED/2/1 |
| Visit planning | Destroy | 6 years | End of current academic year | Limitation Act 1980 Activity Centres |

| Records | Action | Retention Period | Trigger (event that prompts start of Retention Period) | Authority guiding record creation & retention |
|-------------------------|---------|------------------|--|---|
| | | | | (Young Persons' Safety) Act 1995 c.15 |
| Visit delivery | | | | CLL/OED/2/2 |
| Visit delivery | Destroy | 6 years | End of current academic year | Limitation Act 1980 Activity Centres (Young Persons' Safety) Act 1995 c.15 |
| Visit evaluation | | | | CLL/OED/2/3 |
| Visit evaluation | Destroy | 6 years | End of current academic year | SCC Business Need |
| Event management | | | | CLL/OED/3 |
| Event planning | | | | CLL/OED/3/1 |
| Event planning | | | | CLL/OED/3/1/1 |
| Event planning | Destroy | 6 years | End of current academic year | SCC Business Need Health and Safety of Pupils on Educational |

| Records | Action | Retention Period | Trigger (event that prompts start of Retention Period) | Authority guiding record creation & retention |
|-------------------------|---------|------------------|--|---|
| | | | | Visits, DfES 1998 |
| Event risk assessment | | | | CLL/OED/3/1/2 |
| Event risk assessment | Destroy | 25 years | After superseded | Limitation Act 1980 Health and Safety of Pupils on Educational Visits, DfES 1998 |
| Event delivery | | | | CLL/OED/3/2 |
| Event delivery | Destroy | 6 years | End of current academic year | SCC Business Need Health and Safety of Pupils on Educational Visits, DfES 1998 |
| Event evaluation | | | | CLL/OED/3/3 |
| Event evaluation | Destroy | 6 years | End of current academic year | SCC Business Need |

| Records | Action | Retention Period | Trigger (event that prompts start of Retention Period) | Authority guiding record creation & retention |
|--|---------|------------------|--|---|
| Booking administration | | | | CLL/OED/4 |
| Participant information pack production | | | | CLL/OED/4/1 |
| Participant information pack production | Destroy | 6 years | End of current academic year | SCC Business Need |
| Booking administration | | | | CLL/OED/4/2 |
| Booking administration | Destroy | 6 years | End of current academic year | SCC Business Need |
| Site programme scheduling | | | | CLL/OED/4/3 |
| Site programme scheduling | Destroy | 6 years | After superseded | SCC Business Need |
| Participant information administration | | | | CLL/OED/4/4 |
| Visit consent administration | | | | CLL/OED/4/4/1 |
| Visit consent administration | Destroy | 6 months | After end of visit | Limitation Act 1980, Activity Centres (Young Persons' Safety) Act 1995 c.15 |

| Records | Action | Retention Period | Trigger (event that prompts start of Retention Period) | Authority guiding record creation & retention |
|------------------------------------|---------|------------------|--|--|
| Medical information administration | | | | CLL/OED/4/4/2 |
| Primary School Age Participants | Destroy | 6 months | After end of visit | Limitation Act 1980 Health and Safety of Pupils on Educational Visits, DfES 1998 |
| Secondary School Age Participants | Destroy | 6 months | After end of visit | Limitation Act 1980 Health and Safety of Pupils on Educational Visits, DfES 1998 |
| Participating Adults | Destroy | 6 months | After end of visit | Limitation Act 1980 Health and Safety of Pupils on Educational Visits, DfES 1998 |
| Image consent administration | | | | CLL/OED/4/4/3 |
| Image consent (taken during visit) | Destroy | | After image disposed of/no longer used | SCC Business Need Data Protection Good Practice Note Taking Photographs in Schools, Information |

| Records | Action | Retention Period | Trigger (event that prompts start of Retention Period) | Authority guiding record creation & retention |
|--|---------|------------------|--|--|
| | | | | Commissioner's Office, 2005 |
| Image consent (not taken during visit) | Destroy | 6 months | After end of visit | SCC Business Need Data Protection Good Practice Note Taking Photographs in Schools, Information Commissioner's Office, 2005 |
| Property management | | | | CLL/OED/5 |
| Site inspection & maintenance | | | | CLL/OED/5/1 |
| Site inspection | | | | CLL/OED/5/1/1 |
| Site safety inspection | Destroy | 6 years | After superseded | Limitation Act 1980 |
| Site maintenance | | | | CLL/OED/5/1/2 |
| Site maintenance | Destroy | 6 years | After superseded | Limitation Act 1980 |

| Records | Action | Retention Period | Trigger (event that prompts start of Retention Period) | Authority guiding record creation & retention |
|--|---------|------------------|--|---|
| Equipment inspection & maintenance | | | | CLL/OED/5/2 |
| Equipment safety inspection | | | | CLL/OED/5/2/1 |
| Equipment safety inspection | Destroy | 6 years | Lifetime of the equipment | Limitation Act 1980 |
| Equipment maintenance | | | | CLL/OED/5/2/2 |
| Equipment maintenance | Destroy | 6 years | Lifetime of the equipment | Limitation Act 1980 |
| Catering Provision | | | | |
| See CLL – County Catering retention schedule | | | | |