

Records Retention Schedule

Children & Lifelong Learning
School Improvement Division



Information Governance Unit
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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
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 School Improvement Division'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)

Retention Schedule Functions List

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School Improvement Division Retention Schedule

Records	Action	Retention Period	Trigger (event that prompts start of Retention Period)	Authority guiding record creation & retention
Directorate Activity: Education support services provision				CLL/SID/001
Curriculum support				CLL/SID/001/001
Curriculum development advice provision	Destroy	6 Years	Date closed	SCC Business need
English as an additional language support	Destroy	6 Years	Date closed	SCC Business need
Pupil attainment setting	Destroy	6 Years	Date closed	SCC Business need
Schemes of work planning	Destroy	6 Years	Date closed	SCC Business need
Study support	Destroy	6 Years	Date closed	SCC Business need
Translation & interpretation services provision	Destroy	6 Years	Date closed	SCC Business need
Artists in education facilitation	Destroy	6 Years	Date closed	SCC Business need
Elective home education curriculum	Destroy	6 Years	Date closed	SCC Business need

Records	Action	Retention Period	Trigger (event that prompts start of Retention Period)	Authority guiding record creation & retention
approval and monitoring				
Data collection & analysis				CLL/SID/001/002
Racist incident monitoring	Destroy	5 Years	Date created	Business need guided by DfES requirements
School and pupil performance reporting	Destroy	5 Years	Date created	Business need guided by DfES requirements Childrens Act 2004 Education Act 2005 Education (Local Education Authority Performance Targets) (England) Regulations 2005 Education (School Performance Targets) (England) Regulations 2004

Records	Action	Retention Period	Trigger (event that prompts start of Retention Period)	Authority guiding record creation & retention
Analysis request administration	Destroy	5 years	From when task completed	Business need
Examination results data collation	Destroy	5 years	Date created	Business need guided by DfES requirements
Minorities achievement monitoring	Destroy	5 years	Date created	Business need guided by DfES requirements
Pupil attainment analysis (Fisher Family Trust)	Destroy	25 Years	From date of birth	Business need guided by DfES requirements
Panda report production	Destroy	3 Years	Date received	Business need
Educational endowments administration				CLL/SID/001/003
Educational endowment grant payments administration	Destroy	6 Years	After current financial year	SCC Financial Regulations
Educational endowment grant payment decision making	Transfer to County Archives	6 Years	After current financial year	SCC Financial Regulations

Records	Action	Retention Period	Trigger (event that prompts start of Retention Period)	Authority guiding record creation & retention
Pupil support				CLL/SID/001/004
Gap year project application administration	Destroy	25 Years	From date of birth	Limitations Act 1980
Gifted & talented pupil support	Destroy	25 Years	From date of birth	Limitations Act 1980
Master class facilitation	Destroy	25 Years	From date of birth	Limitations Act 1980
Truancy management	Destroy	25 Years	From date of birth	Limitations Act 1980
Truancy enquiry administration (elective home educated pupils)	Destroy	25 Years	From date of birth	Limitations Act 1980
School governance & leadership support				CLL/SID/001/005
Governance & leadership advice and support provision	Destroy	6 Years	Date created	SCC Business need
Leadership advice and support provision	Destroy	6 Years	Date created	SCC Business need
Governing body meeting administration		Permanent		SCC Business need
Governor records maintenance	Destroy	6 Years	Following end of	SCC Business need

Records	Action	Retention Period	Trigger (event that prompts start of Retention Period)	Authority guiding record creation & retention
			governorship	Education Reform Act 1988
Governing body administration	Destroy	6 years	Date closed	SCC Business need
School transport services provision				CLL/SID/001/006
Physical education transport administration				CLL/SID/001/006/001
Swimming education transport administration	Destroy	6 Years	Date created	SCC Business need
Playing fields transport administration	Destroy	6 Years	Date created	SCC Business Need
Schools staffing support				CLL/SID/001/007
Foreign language assistant scheme administration	Destroy	6 Years	Date created	SCC Business need
Graduate teacher support	Destroy	6 Years	Date created	SCC Business need
Higher level teaching assistant scheme administration	Destroy	6 Years	Date created	SCC Business need

Records	Action	Retention Period	Trigger (event that prompts start of Retention Period)	Authority guiding record creation & retention
Newly qualified teacher (NQT) induction	Destroy	6 Years	After termination of contract	SCC Business need guided by DfES requirements
NQT assessment	Destroy	6 Years	After termination of contract	SCC Business need guided by DfES requirements
NQT assessment appeals administration	Destroy	6 Years	After termination of contract	SCC Business need guided by DfES requirements
NQT monitoring	Destroy	6 Years	After termination of contract	SCC Business need guided by DfES requirements
NQT registration administration	Destroy	6 Years	After termination of contract	SCC Business need guided by DfES requirements
NQT support	Destroy	6 Years	After termination of contract	SCC Business need guided by DfES requirements
Teaching assistant support	Destroy	6 Years	Date closed	Business need guided by examination board

Records	Action	Retention Period	Trigger (event that prompts start of Retention Period)	Authority guiding record creation & retention
Teacher support	Destroy	6 Years	Date created	SCC Business need
Training needs advice provision	Destroy	6 Years	Date created	SCC Business need
Head teacher appointment support	Destroy	6 years	After termination of contract	SCC Business need guided by DfES requirements
Professional development support				CLL/SID/001/007/014/001
International links facilitation	Destroy	6 years	Date created	SCC Business need
Schools support				CLL/SID/001/008
Attendance improvement support	Destroy	6 Years	Date created	SCC Business need
Behaviour management support	Destroy	6 Years	Date created	SCC Business need
Funding acquisition support				CLL/SID/001/008/003
Funding acquisition support	Destroy	6 Years	Date created	SCC Business need

Records	Action	Retention Period	Trigger (event that prompts start of Retention Period)	Authority guiding record creation & retention
International school project funding support	Destroy	6 Years	Date created	SCC Business Need
Priority school support	Destroy	6 Years	Date created	SCC Business need
Quality schemes facilitation	Destroy	6 Years	Date created	SCC Business need
Schools networking facilitation	Destroy	6 Years	Date created	SCC Business need
Schools resources sharing facilitation	Destroy	6 Years	Date created	SCC Business need
School target setting support	Destroy	6 Years	Date created	SCC Business need
School visit & contact administration	Destroy	6 Years	Date created	SCC Business need
Teaching resources loan administration	Destroy	6 Years	Date created	SCC Business need
Sports services provision				CLL/SID/001/008/011
Sports services provision	Destroy	6 Years	Date created	SCC Business need
Facilities procedures risk assessment	Destroy	6 Years	After superseded	SCC Business need

Records	Action	Retention Period	Trigger (event that prompts start of Retention Period)	Authority guiding record creation & retention
Sports award schemes administration	Destroy	6 Years	Date created	SCC Business need
Sports facilities booking administration	Destroy	6 Years	Date created	SCC Financial Regulations
Swimming qualification renewal administration	Destroy	6 Years	Date created	SCC Business need
Swimming timetable administration	Destroy	1 Year	Date created	SCC Business need
International study visit support				CLL/SID/001/008/012
International study visit support	Destroy	6 Years	Date closed	SCC Business need
Test & examination support				CLL/SID/001/009
Examination moderation				CLL/SID/001/009/001
Moderation	Destroy	Current academic year + 6	Date created	SCC Business need guided by examining body requirements
Appeals administration	Destroy	Current academic	After final appeal decision	SCC Business need guided by

Records	Action	Retention Period	Trigger (event that prompts start of Retention Period)	Authority guiding record creation & retention
		year + 6		examining body requirements
Examination procedures monitoring & inspection				CLL/SID/001/009/002
Examination procedures monitoring & inspection	Destroy	Current academic year + 6	Date created	SCC Business need guided by examining body requirements
Exam procedures support				CLL/SID/001/009/003
Application for additional time early exam script opening (KS 2/3)	Destroy	Current academic year + 6	Date of application	SCC Business need guided by examining body requirements
KS 2/3 assessment				CLL/SID/001/009/004
KS 2/3 assessment	Destroy	Current academic year + 6	Date of assessment	SCC Business need guided by examining body requirements

Records	Action	Retention Period	Trigger (event that prompts start of Retention Period)	Authority guiding record creation & retention
Standards monitoring & inspection				CLL/SID/001/010
Pupil achievement monitoring				CLL/SID/001/010/001
Elective home educated pupil achievement monitoring	Destroy	25 Years	Date of Birth	Limitation Act 1980
School performance monitoring & inspection				CLL/SID/001/010/002
Pre-OFSTED inspection advice	Destroy	6 Years	Date closed	SCC Business need
Pre-OFSTED monitoring inspection	Destroy	6 Years	From date of inspection	SCC Business need
School monitoring and inspection	Destroy	6 Years	From date of inspection	SCC Business need
School staff performance appraisal				CLL/SID/001/010/003
Head teacher performance appraisal	Destroy	6 Years	Date created	SCC Business need
Teacher performance appraisal	Destroy	6 Years	Date created	SCC Business need

Records	Action	Retention Period	Trigger (event that prompts start of Retention Period)	Authority guiding record creation & retention
Directorate Activity: Training provision				CLL/SID/002
Events and training portfolio development				CLL/SID/002/001
Events portfolio development	Destroy	6 Years	After superseded	SCC Business need
Resources and venue booking administration				CLL/SID/002/002
Resources and venue booking administration	Destroy	6 Years	Date closed (date of training course/event)	SCC Business need SCC Financial Regulations
Event management				CLL/SID/002/003
Delegate booking administration	Destroy	6 Years	Date closed (date of training course)	SCC Business need
Delegate information pack production	Destroy	6 Years	Following one-off event or superseded	SCC Business need
Event evaluation	Destroy	6 Years	Date closed (date event)	SCC Business need
Programme development	Destroy	6 Years	After superseded	SCC Business need

Records	Action	Retention Period	Trigger (event that prompts start of Retention Period)	Authority guiding record creation & retention
Training course provision				CLL/SID/002/004
Attainment assessment	Destroy	6 Years	Date of course/examination completion	SCC Business need Examining body requirements
Candidate registration	Destroy	6 Years	Date of course/examination completion	SCC Business need Examining body requirements
Course accreditation	Destroy	6 Years	After superseded	SCC Business need Accrediting body requirements
Course booking administration	Destroy	6 Years	Date closed (date of training course/event)	SCC Business Need
Course delivery	Destroy	6 Years	Course completion	SCC Business need
Course development	Destroy	6 Years	After superseded	SCC Business need
Course evaluation	Destroy	6 Years	Course completion	SCC Business need

Records	Action	Retention Period	Trigger (event that prompts start of Retention Period)	Authority guiding record creation & retention
Moderation administration	Destroy	6 Years	Date of course/examination completion	SCC Business need guided by examining body requirements
Results appeals administration	Destroy	6 Years	Date of course/examination completion	SCC Business need guided by examining body requirements
Directorate Activity: Services marketing				CLL/SID/003
Advertising materials production	Destroy	6 Years	Date created	SCC Business need
Advertising distribution	Destroy	1 Year	Date created	SCC Business need
Editorial production	Destroy	6 Years	Date created	SCC Business need