

Records Retention Schedule

Development Services Directorate
Highways Management



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 identified 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 Director Law & Governance
- Official guidelines on the retention of records used by the majority of SCC Units (including Health & Safety, Personnel, 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.

"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

"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

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.

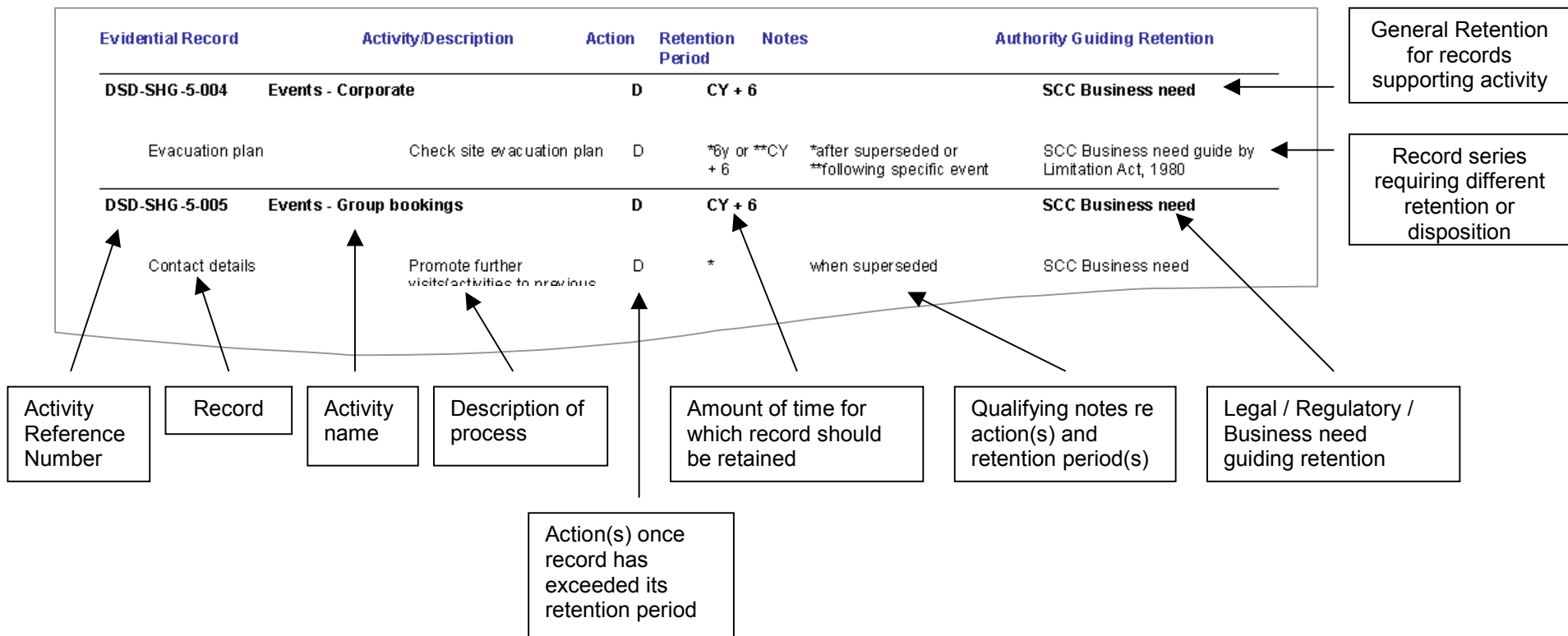
Lord Chancellor’s Code of Practice on the Management of Records, issued under Section 46 of the Freedom of Information Act 2000

“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

- Retention Schedules are updated annually by the Information Governance Unit in collaboration with officers from each Section.
- 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:



Using the Retention Schedule



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 in the life-cycle of any record at which to decide how long it 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 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, when records should be transferred to the Staffordshire County Council records centre, 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 this Unit'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 covering corporate, 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)*

Explanation of Terminology

GRS	General Retention Schedules (Financial, Personnel, Corporate and Health & Safety record retention)
Y	Year
CY	Current year
L	Length of time employee in post; Termination of contract, Termination of post; Death of employee (Specified on each schedule)
D	Destroy
P	Permanent
T	Transfer

Evidential Record	Activity/Description	Action	Retention Period	Notes	Authority Guiding Retention
Function: DSD-HWY-1 Policy and Strategy Development					
DSD-HWY-1	Policy and Strategy Development			Refer to generic Corporate retention schedule	
Function: DSD-HWY-2 Project design, review and installation					
DSD-HWY-2-001	Signalling project design and assessment	D	6y	Following removal or major site change	SCC Business need
	Record of client decision	Receive notification of non-implementation	D	CY + 6	SCC Business need
	Road safety audit report	Receive Road Safety Audit Report	D	6y	Following removal or major site change SCC Business need guided by Limitation Act 1980
	Health & Safety Report	Receive Road Safety Audit Report	D	6y	Following removal or major site change SCC Business need guided by Limitation Act 1980
DSD-HWY-2-002	Signal testing and commissioning	D	6y	Following removal or major change to site	SCC Business need
DSD-HWY-2-003	Street lighting scheme design and assessment	D	6y	Following removal or major change to site	SCC Business need
DSD-HWY-2-004	Street works technical development	D	CY + 2		SCC Business need
Function: DSD-HWY-3 Highway Maintenance					

Evidential Record	Activity/Description	Action	Retention Period	Notes	Authority Guiding Retention	
DSD-HWY-3-001a	Signal inspection	D	CY + 6		SCC Business need	
	Signals maintenance programme	Contractor carries out routine signals inspection	D	6y	after superseded	SCC Business need
DSD-HWY-3-001b	Highway network condition assessment	D	CY + 6		SCC Business need	
	Performance monitoring data	Compile network improvement PI statistics	D	CY + 2	Unless required for further monitoring	SCC Business need
	Record of inspection	Contractor carry out inspection	D	CY + 21		SCC Business need
DSD-HWY-3-001c	Highway safety inspection	D	CY + 6		SCC Business need guided by Limitation Act 1980	
	Highway safety inspection programme	Develop safety inspection programme	D	6y	after superseded	SCC Business need guided by Limitation Act 1980
	Record of inspection	Carry out inspection spot check of work	D	CY + 21		SCC Business need guided by Limitation Act 1980
	Record of inspection	Carry out inspection	D	CY + 21		SCC Business need guided by Limitation Act 1980
DSD-HWY-3-001d	Site supervision (health & safety	D	CY + 6		SCC Businessneed guided by Limitation Act 1980	
	Risk assessment (site)	Carry out risk assessment of work methods and site	D	6y	following completion of works	SCC Businessneed guided by Limitation Act 1980

Evidential Record	Activity/Description	Action	Retention Period	Notes	Authority Guiding Retention
Risk assessment (working practices)	Carry out risk assessment of work methods and site	D	6y	after superseded	SCC Business need guided by Limitation Act 1980
Method statements	Review/establish safe methods of working	D	6y	after superseded or following completion of works	SCC Business need guided by Limitation Act 1980
Record of issue/instruction	Advise contractor/staff of safe method(s) of work	D	6y	after superseded or following completion of works	SCC Business need guided by Limitation Act 1980
Record of communication	Advise contractor/staff of safe method(s) of work	D	6y	after superseded or following completion of works	SCC Business need guided by Limitation Act 1980
DSD-HWY-3-001e	Street lighting inspection and testing	D	CY + 6		SCC Business need
DSD-HWY-3-002a	Highway Fault Management (CLARENCE)	D	CY + 6		SCC Business need guided by Limitation Act 1980
Informant's contact details	Receive report of highway fault	D	1y	Following decision/rectification of problem	SCC Business need
DSD-HWY-3-002b	Emergency incident response	D	6y	Following claim settlement or decision not to pursue claim	SCC Business need guided by Limitation Act, 1980
DSD-HWY-3-002c	Reactive maintenance	D	CY + 6		SCC Business need guided by Limitation Act, 1980
Record of Area faults	View CLARENCE log	D	*	Following action completion	SCC Business need

Evidential Record	Activity/Description	Action	Retention Period	Notes	Authority Guiding Retention
Record of communication	Public notify Area Office of problem	D	1y	Following decision/rectification of problem	SCC Business need
DSD-HWY-3-002d	Signal faults	D	CY + 6		SCC Business need
DSD-HWY-3-003a	Preventative maintenance	D	CY + 21		SCC Business need guided by Limitation Act, 1980
Record of communication with contractor	Negotiate remedial work	D	CY + 6		SCC Business need
Record of communication with contractor	Contractor carries out remedial work	D	CY + 6		SCC Business need
Record of authorisation	Work authorised	D	CY + 6		SCC Business need
Technical specification	Specify appropriate materials	D	6y	Following further maintenance	SCC Business need
Programme of preventative maintenance work	Work authorised	D	CY + 6		SCC Business need guided by Limitation Act, 1980
DSD-HWY-3-003b	Winter maintenance	D	CY + 21		SCC Business need guided by Limitation Act 1980
Delivery record	Record of salt delivery	D	CY + 3		County Treasurer's guidelines based on section 157 of Local Government Act 1972
Weighbridge ticket (record of tonnage)	Record of salt delivery	D	CY + 3		County Treasurer's guidelines based on section 157 of Local Government Act 1972
Record of salt useage	Gritting carried out	D	CY + 6		SCC Business need

Evidential Record	Activity/Description	Action	Retention Period	Notes	Authority Guiding Retention
Record of gritting routes	Develop procedures and route plans	D	6y	Following change of procedures	SCC Business need
Winter maintenance procedures	Develop procedures and route plans	D	6y	Following change of procedures	SCC Business need
DSD-HWY-3-003c	Structural maintenance	D	6y	Following completion	SCC Business need guided by Limitation Act, 1980
Technical specification	Assess appropriate remedial action	D	6y	Following structural change	SCC Business need guided by Limitation Act, 1980
DSD-HWY-3-003d	Minor highway improvements				
Technical specifications	Problem/action identified by inspector	D	6y	Following technical/structural change	SCC Business need
DSD-HWY-3-003e	Weed control	D	CY + 6		SCC Business need
Weed control schedule	Develop programme of work	D	6y	after superseded	SCC Business need
DSD-HWY-3-003f	Gulley emptying	D	CY + 6		SCC Business need
Gulley emptying schedule	Develop programme of work	D	6y	after superseded	SCC Business need
DSD-HWY-3-003g	Grass cutting				
Record of estate adpotion	Receive notification of estate adpotion	D	*	following inclusion in programme	SCC Business need
Grass cutting schedule (Rural)	Develop grass cutting programme	D	6y	after superseded	SCC Business need

Evidential Record	Activity/Description	Action	Retention Period	Notes	Authority Guiding Retention
Grass cutting schedule (Urban)	Develop grass cutting programme	D	6y	after superseded	SCC Business need
DSD-HWY-3-003h	Signal bulb replacement	D	CY + 6		SCC Business need guided by Limitation Act, 1980
Signals bulb replacement programme	Develop programme of work	D	6y	after superseded	SCC Business need
Function: DSD-HWY-4 Co-ordination, regulation and supervision of works affecting highway					
DSD-HWY-4-001	Highway work co-ordination	D	CY + 1		SCC Business need
DSD-HWY-4-002a	Recipricol agreements				
Record of potential routes	Identify areas/routes	D	6y	Following boundary change	SCC Business need
DSD-HWY-4-002b	Grass cutting agreements	D	CY + 6		SCC Business need
Record of proposed maintenance area	Receive application	D	6y	Following ending or change of agreement	SCC Business need
Record of communication/application	Receive application	D	6y	Following ending or change of agreement	SCC Business need
DSD-HWY-4-002c	Highway maintenance agreements with Parish and Town Councils	D	CY + 6		SCC Business need
Record of proposed tasks and area(s)	Area Office receive request from local council	D	1y	Following change to agreement	SCC Business need

Evidential Record	Activity/Description	Action	Retention Period	Notes	Authority Guiding Retention
Application	Receive application for agreement with local council contractor	D	6y	Following change to agreement	SCC Business need
Record of communication with local council	Receive application for agreement with local council contractor	D	6y	Following change to agreement	SCC Business need
Record of communication with contractor	Receive application for agreement with local council contractor	D	6y	Following change to agreement	SCC Business need
Record of agreement	Receive application for agreement with local council contractor	D	6y	Following change to agreement	SCC Business need
Record of communication	Area Office receive request from local council	D	1y	Following change to agreement	SCC Business need
DSD-HWY-4-002d	Application to deposit builders skip on highway	D	6y	Following expiry of licence	SCC Business need
		D	6y	Following expiry of licence	SCC Business need
DSD-HWY-4-002e	Application to use temporary traffic signals on highway	D	6y	Following expiry of licence	SCC Business Need
DSD-HWY-4-002f	Application for vehicle access crossing	D	6y	Following change to highway affecting access conditions	SCC Business need
Record of communication	Receive enquiry	D	CY + 1		SCC Business need
DSD-HWY-4-002g	Licence to plant on Highway				

Evidential Record	Activity/Description	Action	Retention Period	Notes	Authority Guiding Retention
Licence (copy)	Receive copy of licence Resources	D	P	Unless licenece revoked	SCC Business need
DSD-HWY-4-002h	Permissions for minor local improvements	D	6y	Following withdrawal or further change	SCC Business need
Record of dispatch	Send application form (std. letter)	D	CY + 1		SCC Business need
DSD-HWY-4-002i	Street Works notification, registration and monitoring				
Weekly street works list	Publish weekly street works list	D	*	when superseded	SCC Business need
DSD-HWY-4-002j	Application to Open County Road	D	6y	Following completion of work	SCC Business need
Record of payment	Receive application	D	6y	Following completion of work	County Treasurer's guidelines based on section 157 of Local Government Act 1972
DSD-HWY-4-002k	Traffic Regulation Order Administration (Temporary Orders)				
Process log	Receive application for temporary TRO	D	6y	Following expiry of valid Order	SCC Business need
DSD-HWY-4-002l	Traffic Regulation Order Administration (Permanent Orders)	D	6y	Following implementation	SCC Business need

Evidential Record	Activity/Description	Action	Retention Period	Notes	Authority Guiding Retention
Stakeholder contact list	Advise emergency services of intended publication	D	*	Until superseded	SCC Business need
Process log	Receive copies of approvals	D	6y	Following withdrawal or change	SCC Business need
Sealed Order (copy)	Order sealed	D	6y	Following revocation or change	SCC Business need
DSD-HWY-4-002m	Traffic Regulation Order Administration (Recoverable Costs)	D	6y	Following implementation	SCC Business need
Record of agreement	Receive client agreement to pay costs				
DSD-HWY-4-002n	Site Supervision (Development Control Highway Adoption)	D	1y	Following Adoption	SCC Business need
Record of CDM design/implementation issues	Carry out spot checks/item checks/routine inspection/respond to developer requests for assistance/advice	D	*	Following major change to site	SCC Business need guide by Construction (Design and Management) Regulations 1994
Record of communication with developer/contractor	Carry out spot checks/item checks/routine inspection/respond to developer requests for assistance/advice	D	*	Following major change to site	SCC Business need
List of adopted highways	Receive notification of road adoption	D	*	Following revision	SCC Business need
Site plan of adopted highway (copy)	Receive notification of road adoption	D	*	Following major change to site	SCC Business need

Evidential Record	Activity/Description	Action	Retention Period	Notes	Authority Guiding Retention	
DSD-HWY-4-002o	Application to deposit scaffolding on highway	D	6y	Following expiry of licence	SCC Business need	
Function: DSD-HWY-5 Third Party Claims						
DSD-HWY-5	Third Party Claims	D	21y	Following settlement	SCC Business need	
	Trend monitoring data	Identify incident trends	D	CY + 6	Unless required for further monitoring	SCC Business need
Function: DSD-HWY-6 Information Provision						
DSD-HWY-6-001	Road work reports	D		Following revision	SCC Business need	
Function: DSD-HWY-7 Enforcement						
DSD-HWY-7-001	Notification of nuisance on highway	D	6y	Following resolution of issue	SCC Business need guided by Limitation Act 1980	