

Records Retention Schedule

Development Services Directorate
Sustainable Transport



Information Governance Unit
September 2003

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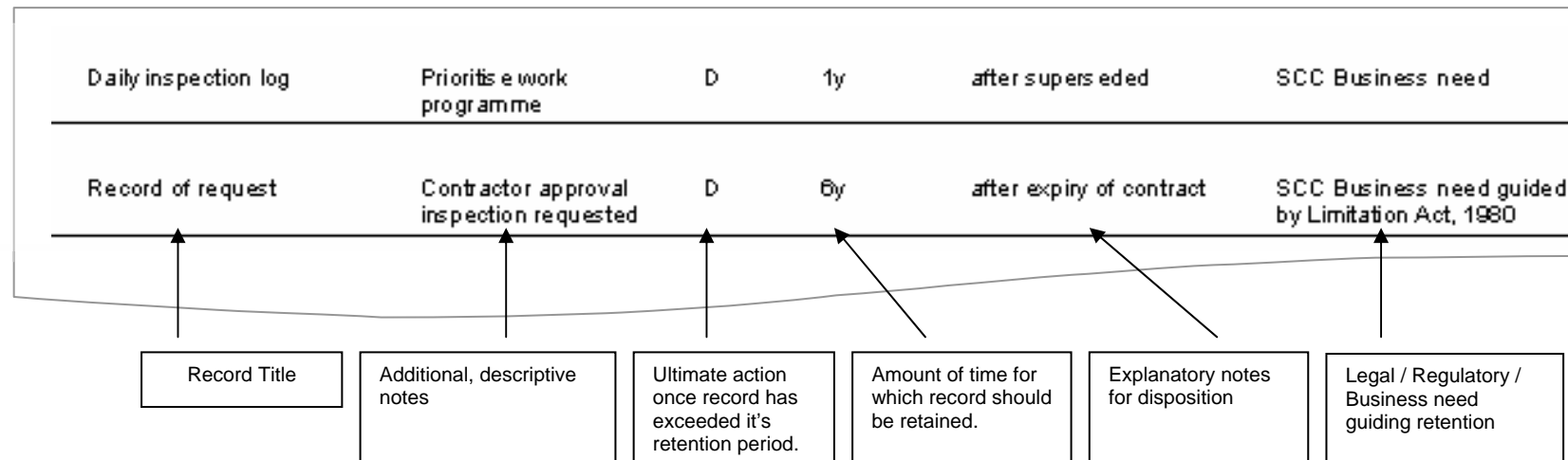
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What is a Retention Schedule ?

- 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 types of Records identified reflect the functions and day-to-day activities undertaken within the Unit (as identified from the Process Mapping component of the Information Audit) and the legal, regulatory and business requirements under which the Unit works.
- Each Record is given a unique reference, which reflects its place in the activity of the Unit and which links that record back to an identified process. In this way the Retention Schedule is more than an arbitrarily defined list of records: it links explicitly to the processes of this Unit within Staffordshire County Council.
- The Retention Schedule provides consistent instructions for all staff who deal with records, and a formal policy for records retention and destruction. 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.

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:



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

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 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 IT systems must include proper consideration of Retention Schedules to provide a consistent response to legal and operational requirements.
- **When reviewing processes.** The process maps compiled by the Information Governance Unit as part of the Information Audit can be used for other purposes other than as a basis for a Retention Schedule; they may highlight processes within the Unit that could be improved, revised, or replaced completely. They may highlight the need for records to be created and retained where in practice no records exist: or they may reveal that unnecessary records are being created, or maintained for longer than is necessary. The Retention Schedule and Process Maps together act as a way of reviewing the efficiency and effectiveness of Information Management and Workflow within this Unit.

- **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 keep 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.
- **When considering files for permanent preservation as Historical Archives.** Some records, once they have reached the end of their retention period, could be considered to have historical or continuing value and may be considered for permanent preservation as archives. At this point they will be transferred to the County Archives Service, Eastgate Street.

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 General Retention Schedules, which cover records used by all Directorates (covering corporate, financial, health & safety and personnel records) and the Business Unit Specific Retention Schedules, which relate to only one particular Directorate or Service.

The schedules should be regularly updated to account for any changes to business practice and will 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)
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	Action	Retention Period	Notes	Authority Guiding Retention
Function: DS-ST-1-001 Local Transport Plan (LTP) Development					
DS-ST-1-001	Transport Policy Development		P	Identify master copy, loan copies & copies for transfer copy to County Record Office when published	SCC Business need
	Transport Policy Statements (copies)	D		destroy duplicate copies when superseded	SCC Business need
DS-ST-1-001-a	Local Transport Plan Development		P	Identify master copy, loan copies & copies for transfer copy to County Record Office when published	SCC Business need
	Local Transport Plan (copies)	D		destroy duplicate copies when superseded	SCC Business need
DS-ST-1-001-b1	Area Strategy Development: Strategic Overview	D	6y	after policy superseded	Limitation Act 1980
DS-ST-1-001-b2	Area Strategy Development: Local Strategy	D	6y	after project completion	Limitation Act 1980
	Annual progress report	D	CY + 2	For trend monitoring	SCC Business need
DS-ST-1-001-c	Local Transport Plan Scheme Funding	D	6y	after project completion	Limitation Act 1980
Function: DS-ST-1-002 Performance Monitoring & Reporting					

Evidential Record	Activity	Action	Retention Period	Notes	Authority Guiding Retention
DS-ST-1-002-a	Quality Assurance Audit	D	CY + 6		SCC Business need
DS-ST-1-002-b	Local Transport Plan Performance Monitoring & Reporting	D	CY + 6	unless required for further monitoring	SCC Business need
DS-ST-1-002-c	Quality Assurance	D	6y	after policy superseded	SCC Business need
	Audit reports	D	CY + 2	following collation	SCC Business need
	Annual Report	D	CY + 6		SCC Business need
Function: DS-ST-2-001 Passenger Transport: Service Provision					
DS-ST-2-001-a	Passenger Transport Strategy Development		P	Identify master copy, loan copies & copies for transfer to County Record Office when published	Limitation Act 1980
		D	6y	destroy duplicate copies when superseded	SCC Business need
	Monitoring report	D	CY + 2		SCC Business need
	Operator statistics	D	CY + 2		SCC Business need
DS-ST-2-001-b	Passenger Transport Service Provision	D	6y	following 3 yearly contract review	Limitation Act 1980
	Registered service record	D	6y	after superseded	SCC Business need

Evidential Record	Activity	Action	Retention Period	Notes	Authority Guiding Retention
Notification of change to registered service		D	6y	after superseded	SCC Business need
Contract		D	6Y	after expiry of contract	SCC Business need guided by Limitation Act, 1980
DS-ST-2-001-c	Passenger Transport Service Monitoring	D	2y	after expiry of contract	SCC Business need
DS-ST-2-001-d	Passenger Transport Contract Compliance	D	6y	after expiry of contract	Limitation Act 1980
DS-ST-2-001-e	Passenger Vehicle Inspection	D	6y	after expiry of contract	Limitation Act 1980
	Work programme	D	CY + 1		SCC Business need
	Daily inspection log	D	CY + 1		SCC Business need
DS-ST-2-001-f	Bus Information Strategy Development	*D	6y	after policy superseded	Limitation Act 1980
DS-ST-2-001-g	Travel Information Provision	D		following publication of new timetables	SCC Business need
		D			
DS-ST-2-001-h	Public Transport Infrastructure Development	D	6y	following project completion	Limitation Act 1980
DS-ST-2-001-i	Budget Monitoring and Forecasting	D	CY + 6		County Treasurer's guidelines based on sect 157 Local Government Act 1972

Evidential Record	Activity	Action	Retention Period	Notes	Authority Guiding Retention
DS-ST-2-001-j	Transport Contract Performance Monitoring Performance report	D	6y	after policy superseded	SCC Business need
Function: DS-ST-2-002 Green Travel Plans					
DS-ST-2-002-a	Green Travel Plan Development Initiative development report	D	6y	Until formal plan created	Limitation Act 1980
DS-ST-2-002-b	Green Travel Plan Administration Monitoring report	D	CY + 6		County Treasurer's guidelines based on sect 157 Local Government Act 1972
		D	CY + 2	Unless needed for further monitoring	SCC Business need
DS-ST-2-002-c	Car Share Scheme Monitoring report	D	1y	following drivers withdrawal from scheme	SCC Business need
		D	CY + 2	unless needed for further monitoring	SCC Business need
Function: DS-ST-2-003 Travel to School					
DS-ST-2-003-a	School Travel Plan Development & Monitoring	D	6y	following granting of planning consent	Town & Country Planning Act 1990
DS-ST-2-003-b	Walking Bus Scheme Development & Monitoring	D	6y	following end of route/scheme	Limitation Act 1980

Evidential Record	Activity	Action	Retention Period	Notes	Authority Guiding Retention
Monitoring record		D	CY + 2	Unless needed for further monitoring	SCC Business need
Working notes		D	CY + 6		Limitation Act 1980
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Function: DS-ST-2-004 Development Control					
DS-ST-2-004-a	Development Control: Planning Application Assessment		P	Reference required for future applications under current guidelines. Review if legislation or guidance change	SCC Business need guided by Town & Country Planning Act 1991
Record of receipt		D	6y	following date of final decision notice	SCC Business need
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DS-ST-2-004-b	Development Control: Staffordshire Act, Section 7 Applications		P	Reference required for future applications under current guidelines. Review if legislation or guidance change.	SCC Business need guided by Highways Act, 1980 and Staffordshire Act, 1983 Sect. 7
Copy of correspondence		D		following receipt of plan(s)	SCC Business need
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DS-ST-2-004-c	Development Control: Highways Act, Section 38 Adoption Agreement		P	Reference required for future applications under current guidelines. Review if legislation or guidance change	SCC Business need guided by Highway Act 1980
Record of dispatch		D		following receipt of plan(s)	SCC Business need

Evidential Record	Activity	Action	Retention Period	Notes	Authority Guiding Retention
DS-ST-2-004-d	Transport Assessment	D	*6y **25y	* 6y following granting of planning permission, Local plan superseded or **25 y following conclusion of public inquiry	SCC Business need guided by Limitation Act 1980
Function: DS-ST-2-005 Land Charges					
DS-ST-2-005-a	Local Land Searches	D	CY + 1		SCC Business need
	Process monitoring record	D	CY + 2	unless needed for further monitoring	SCC Business need
DS-ST-2-005-b	Commons Registration Searches	D	CY + 20		SCC Business need guided by Commons Registration Act, 1965
DS-ST-2-005-c	Information provision re land searches (general)	D	CY + 2		SCC Business need
Function: DS-ST-3-001 Accident Investigation					
DS-ST-3-001-a	Accident Data Processing & Information Provision		P	Review following major project or change in legislation	SCC Business need guided by Road Traffic Act, Section 8
	Police data check file	D		following processing	SCC Business need guided by Road Traffic Act, Section 8

Evidential Record	Activity	Action	Retention Period	Notes	Authority Guiding Retention
	Database report of missing records	D		following processing	SCC Business need guided by Road Traffic Act, Section 8
	Record of communication/correspondence	D	CY + 2		SCC Business need
	Accident/site investigation report	D	CY + 2		SCC Business need
DS-ST-3-001-b	Accident Investigation	D	6y	following change of Speed Limitation Order (SLO)	Road Traffic Act, Section 8
	Monitoring report	D	CY + 2		SCC Business need guided by Road Traffic Act, Section 8 unless required for further reference
Function: DS-ST-3-002 Speed Reduction					
DS-ST-3-002-a	Road Network Signing (SLO)	D	6y	following change of SLO	SCC Business need guided by Limitation Act, 1980
	Draft Scheme design	D		after project completion	SCC Business need
DS-ST-3-002-b	Safety Camera Site Selection, Commissioning & Operation	D	6y	after responsibility for site passed to Partnership Board	SCC/Partnership Business need
	Work instruction				
	Approval notification		6y	following change of SLO	SCC/Partnership Business need
	Calibration certificate		6y	following change of SLO	SCC/Partnership Business need guided by Limitation Act, 1980

Evidential Record	Activity	Action	Retention Period	Notes	Authority Guiding Retention
Commissioning document			6y	following change of SLO	SCC/Partnership Business need guided by Limitation Act, 1980
Service Level Agreement			6y	after agreement superseded/terminated	SCC Business need guided by Limitation Act, 1980
Monitoring report			CY + 2	unless needed for further monitoring	SCC Business need
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DS-ST-3-002-c	Safety Camera Partnership Public Relations	D	CY + 6		SCC Business need
	National/Regional campaign programmes	D	CY + 1		SCC Business need
	PR Implementation Programme	D	CY + 1		SCC Business need
	Press coverage monitoring report	D	CY + 2		SCC Business need
	Accident statistic analysis report	D	CY + 2		SCC Business need
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Function: DS-ST-3-003 Traffic Management					
DS-ST-3-003-a	Traffic Management Policy Development		P	Identify master & loan copies when published	SCC Business need
	Policy document (copies)	D		when policy superseded	SCC Business need
	Draft Policy document	D		until formal policy created	SCC Business need
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DS-ST-3-003-b	Road Network Signing (TRO)	D	6y	following change of TRO	Limitation Act 1980
	Record of communication re TRO	D	CY + 2		SCC Business need

Evidential Record	Activity	Action	Retention Period	Notes	Authority Guiding Retention
Draft Scheme design		D		Following project completion	SCC Business need
Work instructions		D		Following project completion	SCC Business need
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Function: DS-ST-3-004 Driver/Rider Training					
DS-ST-3-004-a	Cycle Training	D	CY + 6		Limitation Act 1980
	Record of site assessment	D	6y	following re-assessment	Limitation Act 1980
	Training monitoring form	D	CY + 2		SCC Business need
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DS-ST-3-004-b	Minibus Driver Training	D	6y	after course completion	Limitation Act 1980
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DS-ST-3-004-c	Fleet Driver Training	D	CY + 6		Limitation Act 1980
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DS-ST-3-004-d	National Driver Improvement Scheme (NDIS)	D	CY + 3		Road Traffic Act
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DS-ST-3-004-e	Care Provider Driver Training (Stalington Scheme)	D	CY + 6		Limitation Act 1980
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Function: DS-ST-3-005 Road Safety Training & Education					
DS-ST-3-005-a	Safer Routes Programme Development & Monitoring	D	6y	after project completion	SCC Business need
	School liaison monitoring notes	D	CY + 6		SCC Business need

Evidential Record	Activity	Action	Retention Period	Notes	Authority Guiding Retention
DS-ST-3-005-b	Pedestrian Training	D	CY + 6		SCC Business need
	Training monitoring report	D	CY + 2		SCC Business need
DS-ST-3-005-c	Facilitating theatre in education	D	CY + 1		SCC Business need
DS-ST-3-005-d	Kerb Craft (pilot scheme)	D	6y	after end of pilot project	SCC Business need
Function: DS-ST-3-006 Road Safety Publicity					
DS-ST-3-006	Road Safety Scheme Promotion	D	CY + 2	*Destroy duplicate copies following completion of promotion **retain master/sample copy	SCC Business need
Function: DS-ST-4-001 Information Systems Development, Management & Maintenance					
DS-ST-4-001-a	GIS Development & Support	D	CY + 6		SCC Business need
	Project specification	D	12y	following completion	SCC Business need
DS-ST-4-001-b	Ordnance Survey Liaison, Development & Support				
	Notification of data update	D	CY		SCC Business need
	Data loan record	D		until data superseded	SCC Business need
	Data error report	D	1y	after issue reported to OS	SCC Business need

Evidential Record	Activity	Action	Retention Period	Notes	Authority Guiding Retention
	Record of communication with OS	D	CY + 2		SCC Business need
	OS Liaison Group meeting minutes	D	CY + 2		SCC Business need
	Record of guidance/information issued	D	CY + 6		SCC Business need
	SCC OS Development Group meeting minutes	D	CY + 6		SCC Business need
	Action plan	D	6y	after superseded	SCC Business need
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Function: DS-ST-4-002		Data Collection & Information Provision			
DS-ST-4-002-a	Traffic Data: Collection & Information Provision	D	CY + 3		SCC Business need
	Evidence of agreed survey specification	D	6y	after survey completion	Limitation Act 1980
	Survey Schedule	D	1y	after superseded	SCC Business need
DS-ST-4-002-b	Technical Library Administration	D	1y	following return of item	SCC Business need
	Record of holdigs (catalogue cards)	D		following disposal of stock item	SCC Business need
	Distribution list	D		until superseded	SCC Business need
DS-ST-4-002-c	Technical Document Administration	D	6y	after policy/guidance/procedure superseded	SCC Business need

Evidential Record	Activity	Action	Retention Period	Notes	Authority Guiding Retention
DS-ST-4-002-d	Contract Document Administration	D	6y	after expiry of contract	Limitation Act 1980
	Distribution list				
	Contract document (copy)	D		until end of contract	SCC Business need