

Retention Guidelines

Management and Administration – full length

PUBLIC
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Version History

V4.0: Status changed to retention guidelines; MA 2.1.7, MA 2.1.8, MA 2.5.5 now suggest offering to record office; MA 2.1.1 CMT minutes added to examples; MA 2.4.7 examples reviewed and updated
V4.1: Addition of MA 2.4.8 for SAP Workflow

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Retention guidelines vs retention schedules

A retention **schedule** tells you how long to keep your records. It is designed to give you confidence you are disposing of records at the right time, for the right reasons. At Derbyshire County Council, each retention schedule is owned by a department or service, which manages it in consultation with the Records Management Service. There are more than 15 of these schedules, with over 500 separate rules.

Retention **guidelines** are a secondary source of retention advice. They may borrow rules from retention schedules, in order to implement them in a local context. They might draw on:

- ❖ The Finance retention schedule, for records involving income, expenditure, and budgeting
- ❖ The Human Resources retention schedule, for personnel records
- ❖ The Health and Safety retention schedule, for risk assessments or incident management

Any summary of retention rules should include the reference codes from the retention schedule(s). The underlying retention schedules are regularly revised, so any in-house guidelines should be checked against them at least once a year. If there is any contradiction between a set of guidelines and an up-to-date retention schedule, it is the schedule, not the guidelines, that represents departmental policy. Any lines not deriving from a current retention schedule are advisory. For instance, the Management and Administration retention guidelines contain generic advice issued by the Records Management Service to the entire council, rather than the policy of any particular department.

Standard Operating Procedures (SOP)

In general, there is no need to keep information that is duplicated. For instance, if you know that a set of minutes or reports is being properly looked after, there is no need to keep your own copy once you have finished with it.

There is also no need to keep information that is of short-term operational value. For instance: draft versions of documents, if the final version is securely kept; or telephone messages, if the content has been passed on to the right recipient. For more on transient data, see GN2020002.

For further information about the contents of any retention schedule, or for records management generally contact Records Management on records.management@derbyshire.gov.uk or x39203

PREPARING BUSINESS				
RefNo	Process	Retention period	Examples	Further Info
MA 2.1.1	The process of preparing business for strategic consideration and making a record of discussion, debate and resolution	Permanent. Offer to Derbyshire Record Office	Minutes of Corporate Management Team, Corporate Governance Group, Information Governance Group	Common Practice
MA 2.1.2	The process of preparing business for cross-departmental consideration and making a record of discussion, debate, and resolution	Destroy 3 years from last amendment	Management Minutes Action Plans	Common Practice
MA 2.1.3	The process of preparing business for unit/team consideration and making a record of discussion, debate and resolution	Destroy 3 years from last amendment	Team Meeting Minutes	Common Practice Do not destroy minutes created by the Children's Services department until IICSA has given permission
MA 2.1.4	The process of providing support for Chief Officers	Review 6 years from closure	Director Correspondence	Common Practice
MA 2.1.5	Deciding matters of health and safety within a unit/team and making a record of discussion, debate and resolution	Destroy 7 years from last amendment	Health and safety meeting minutes	Health and Safety at Work etc Act Section 2(3)
MA 2.1.6	The process of fulfilling a statutory obligation to engage with the public to discuss matters of community interest, and making a record of discussion, debate and resolution	Destroy 10 years from last amendment If another retention period is required (e.g. by legislation), consult the Corporate Records Manager to ensure that this period is adequately reflected in the council's retention schedules.	Public meeting minutes	Business need

MA 2.1.7	The non-statutory process of engaging with the public to discuss matters of community interest, and making a record of discussion, debate and resolution	Review 10 years from last amendment, then destroy or offer to Derbyshire Record office if of enduring historic interest	Public forum meeting minutes	Business need
MA 2.1.8	The process of deciding matters of staff welfare and making a record of discussion, debate and resolution	Review 7 years from last amendment, then destroy or offer to Derbyshire Record office if of enduring historic interest	Lesbian, Gay, Bisexual and Transgender (LGBT) employees group meeting minutes	Business need
MA 2.1.9	The process of deciding matters in partnership with external bodies, where Derbyshire County Council bears the duty of making a record of discussion, debate and resolution	Destroy 10 years from last amendment If partnership agreement requires another retention period, consult the Corporate Records Manager to ensure that this period is adequately reflected in the council's retention schedules.	Derbyshire Partnership Forum meeting minutes and associated records	Business Need For Information Sharing Agreements, see MA 2.4.4
MA 2.1.10	The process of deciding matters in partnership with external bodies, where a partner organisation bears the duty of making a record of discussion, debate and resolution	Destroy 3 years from last amendment	Partnership meeting minutes	Business need

MA 2.1.11	The process of assessing and registering corporately-owned or high-level departmental risks, and making a record of actions taken to manage them	Permanent. Offer to Derbyshire Record Office when no longer current	Information Asset Registers, Risk Assessments, Risk Treatment Plans	Business need For risks managed by a specific service, section or project team, retain in line with associated records, e.g. if for risks managed as part of a significant organisational project, see MA 2.3.7
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STATUTORY RETURNS

RefNo	Process	Retention period	Examples	Further Info
MA 2.2.1	The process of preparing information to be passed onto central government as part of statutory requirements	Destroy 7 years from last amendment	Reports to Central Government	Common Practice

POLICY, PROCEDURES, STRATEGY AND STRUCTURE

See also Policy and Research retention schedule

RefNo	Process	Retention period	Examples	Further Info
MA 2.3.1	Number not used			
MA 2.3.2	Development of policies, procedures, strategies and structures	Permanent. Offer to Derbyshire Record Office, 7 years from closure. Where multiple versions of policies and procedures are available, select significant revisions, illustrative of the evolution and implementation of council policy.	Policy Organisational Charts Developments Plans	Common Practice
MA 2.3.3	The process of monitoring and reviewing strategic plans, policies, or procedures to assess their compliance with guidelines	Destroy 6 years from end of administrative use	Reports of Working Groups	Common Practice

MA 2.3.4	The process of consulting the public and staff in the development of significant policies	Destroy 6 years from end of administrative use	Surveys	Common Practice
MA 2.3.5	The process of consulting the public and staff in the development of minor policies	Destroy 1 year from end of administrative use	Questionnaires	Common Practice
MA 2.3.6	The process of undertaking investigations into the redesign of services	Destroy 6 years from closure of record		Common Practice
MA 2.3.7	The process of managing significant organisational projects	Destroy 6 years from end of project		Common Practice
MA 2.3.8	The process of managing organisational accreditations	6 years from end of accreditation	Monitoring Compliance Checks	Common Practice

INFORMATION MANAGEMENT

RefNo	Process	Retention period	Examples	Further Info
MA 2.4.1	The process that records the disposal of records	Destroy 12 years from last action	Disposal Certificates	Common Practice
MA 2.4.2	The process that records routine access to information requests	Destroy 3 years from closure An access to information file is closed when legal requirements are met, e.g. full reply sent.	Requests; Replies;	Common Practice Within Children's Services, data subject access requests (SARs) are treated as an integral part of the individual's case file. See the Children's Services retention schedule
MA 2.4.3	Number not used			

MA 2.4.4	The process of managing privacy within systems	<p>Destroy 7 years from closure.</p> <p>Where records relate to a system or information management process, the date the system or process ceases altogether is the closure date.</p> <p>Where records relate to a single event (e.g. photography consent for a public outreach activity) the date of the event is the closure date</p>	<p>Privacy Impact Assessments (trigger: cessation of activity)</p> <p>Privacy Notices, Information Sharing Agreements (trigger: withdrawal of notice)</p> <p>Photograph consent forms (trigger: end of event)</p>	Limitation Act 1980
MA 2.4.5	Routine administration of records retention	Destroy 7 years from closure	Draft retention schedule, records management enquiries/replies	Limitation Act 1980
MA 2.4.6	The process of finalising records retention policy	Permanent. Offer to Derbyshire Record Office.	Approved retention schedule	Common Practice (sampling advisable)

MA 2.4.7

The process that handles data in transit to a council-approved recordkeeping system, or transit to final deletion. Destroy immediately after transfer of information.

Triggered by:

- closure of hard copy transient record (e.g. notebook, signing-in sheet)
- transfer of information/file into a case management system
- transfer of file into electronic document/record management system
- transfer of file into shared network drive
- alteration of a web page
- final removal of a web page
- expiry of an automated waiting period imposed for disaster recovery, business continuity or data security reasons.

Some examples:

- 2-week rolling destruction programme on datasets shared by external agencies in the interests of Community Safety. Subjects include: modern slavery, child sexual exploitation, organised crime, prevention of terrorism.
- 30-day rolling destruction programme on telephone call recordings handled in a contact centre (telephone recordings may also be retained for training and quality control purposes - see Contact Centre retention schedule).
- 30-day rolling destruction programme on audio recordings of meetings produced to allow for verbatim transcription.
- 60 day rolling deletion of web content not modified within previous 12 months
- 30-day rolling destruction of deleted web content in the Contents Management System
- 4-month destruction on domestic abuse notifications made to Children's Services.
- 6-month rolling destruction programme on operational data and system backups used in maintenance of ICT infrastructure.
- 6-month rolling destruction programme on user-deleted documents in the Electronic Document and Records Management system.
- 6-month rolling destruction programme on the personal workspaces of former employees, temporarily held in the Electronic Document and Records Management system for review by line managers.
- 1 year manual destruction of working documents to do with emergency planning, after their transfer to a final record.
- 2-month rolling destruction of interface files used in personnel recordkeeping, where the source and target systems hold a full record in accordance with the HR retention schedule
- 2-month rolling destruction of interface files used in financial recordkeeping (excluding Adult Care and Fostering), where the source and target systems hold a full record in accordance with the Finance retention schedule
- 18-month rolling destruction of interface files used in financial recordkeeping (Adult Care and Fostering), where the target system holds a full record in accordance with the finance retention schedule

See Guidance notes GN2020002 and GN2020001

MA 2.4.8	The process of initiating, authorising and finalising changes to core finance, procurement and human resources records	Destroy 6 years from end of financial year	SAP workflow	Limitation Act 1980
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ENQUIRIES, COMPLAINTS AND COMMUNICATIONS

RefNo	Process	Retention period	Examples	Further Info
MA 2.5.1	The management in summary form of enquiries, compliments and complaints	Permanent. Offer to Derbyshire Record Office	Register of Comments	Common Practice
MA 2.5.2	The management of enquiries, submissions and complaints which result in significant changes to policy or procedures	Permanent. Offer to Derbyshire Record Office.	Letters of complaint (if resulting in major policy change)	Common Practice
MA 2.5.3	The management of enquiries, submissions, compliments and complaints which do not result in significant changes to policy or procedures	Destroy 6 years from response or resolution. Excludes routine communications of very minor significance (destroy on closure – see 2.4.7)	Letters of complaint (if not resulting in a major policy change)	Local Government Act 1972 Limitation Act 1980
MA 2.5.4	The management of detailed responses to council actions, policy or procedures	Destroy 6 years from conclusion of administrative use	Reports Correspondence	Common Practice
MA 2.5.5	The process of issuing routine communications to council staff and clients	Review 7 years from issue, then destroy or offer to Derbyshire Record office if of enduring historic interest	Staff newsletters	Common Practice

QUALITY AND PERFORMANCE MANAGEMENT

RefNo	Process	Retention period	Examples	Further Info
MA 2.6.1	The process of monitoring or reviewing the quality, efficiency, or performance of services	Destroy 6 years from closure of record (unless funding body requires longer retention)	Customer Satisfaction Survey Results	Common Practice

MA 2.6.2	The process of assessing/analysing the quality, efficiency or performance of services/activities	Destroy 2 years from closure of record	CIPFA Stats	Common Practice
MA 2.7	Number not used			
MA 2.8	Number not used			
MA 2.9	Number not used			

CIVIC AND ROYAL EVENTS

RefNo	Process	Retention period	Examples	Further Info
MA 2.10.1	The process of recording ceremonial events and civic occasions	Permanent. Offer to Derbyshire Record Office	Photographs of Royal visits Press Cuttings	Common Practice
MA 2.10.2	The process of organising a ceremonial event or civic occasion	Destroy 7 years from conclusion of administrative use	Guest list for attending Royal Openings	Common Practice