



# DERBYSHIRE COUNTY COUNCIL

## Policy and Research Retention Schedule



Version History				
Version	Date	Detail	Author	Responsible Officer
0.1-0.7	Mar to Sep 2018	<p>Update retention schedule in line with GDPR</p> <p>Updated Consultation and Engagement</p> <p>Questions and comments from Corporate Records Manager</p> <p>Updates and comments from Research and Information Manager</p> <p>Further questions and comments</p> <p>Broadened and clarified definition of photography purposes. Neatened up by taking agreed actions on previous comments.</p> <p>Additional examples</p>	Mel Turvey / Barbara Ackrill / Mark Smith	Sarah Eaton
1.0	16/10/2018	First published version	Mark Smith / Mel Turvey	Sarah Eaton
1.1	14/01/2019	Edits: 2.1-2.2 “review” instead of “closure”, removal of BME Forum as example	Mark Smith / Mel Turvey	Sarah Eaton
1.2	30/01/2019	2.1 becomes “Review 3 years from closure”; 2.2 becomes “Review 10 years from closure”	Mark Smith / Mel Turvey	Sarah Eaton
1.3	12/03/2019	“At a glance” section: interview notes changed from 6 months to 12 months	Mark Smith	

## Standard Operating Procedure

Some records do not need to be kept at all. Standard Operating Procedures (SOP) define all records which staff may routinely destroy in the normal course of business. However, the retention/disposal schedule must still contain references and instructions concerning them.

SOP usually applies to information that is duplicated, unimportant, or of only short term transactional or operational value. Examples include:

- 'with compliments' slips
- catalogues and trade journals
- reports from third parties circulated for information
- journals of professional bodies or organisations
- telephone message slips
- non-acceptance of invitations
- trivial electronic mail messages or notes that are not related to Authority business
- requests for standard information such as location maps, plans, contact details, opening hours or promotional material
- out-of-date distribution lists/staff directories
- minutes circulated for information
- Diaries (where notebooks where content is transferred into other electronic systems) not required as evidence

*(Note, this is not an exhaustive list)*

Duplicated and superseded material such as official stationery, manuals, drafts, forms, address books and reference copies of DCC annual reports may be destroyed under SOP. Electronic copies of documents where a hard copy has been printed and filed, and thermal paper facsimiles after making and filing a photocopy, are also covered by SOP and may be destroyed

SOP should not be applied to records or information that can be used as evidence– to prove that something happened or that a decision was reached. Examples include: staff meeting minutes, public consultation papers or any record that has made a significant contribution to the discussion of the business being conducted should be captured as a record and have a retention period assigned.

## Glossary of Terms:

Closure: when a record ceases to be 'current' – this can be the when a set of minutes are formally agreed, or when a Help Desk incident is formally closed. Many retention periods are triggered after the 'closure' of a record

Disposal: the processes associated with the end of a records lifecycle, they will typically include destruction of the records or transfer of the records to Derbyshire Record Office for permanent preservation

Functional Description: the description of the function that the record serves (i.e. the functional description of a set of minutes is 'the process of preparing business...')

Permanent: Retain the record permanently and transfer to Derbyshire Record Office

Record: the recorded evidence about an activity

Retention Action: the action regarding the retention of a record, these will be triggered by a particular event (i.e. the closure of a record)

## Additional Information:

Records Disposal Policy and Procedures:

<https://staff.derbyshire.gov.uk/information-security/confidential-information/disposing-of-confidential-information/disposing-of-confidential-information.aspx>

Additional Retention Schedules (including HR, Management and Administration, Property, Procurement):

<http://staff.derbyshire.gov.uk/retentionschedules>

***For further information about the contents of this retention schedule, or for records management generally contact Records Management on [records.management@derbyshire.gov.uk](mailto:records.management@derbyshire.gov.uk) or on ext. 39203***

## At a glance guide to other retention periods

Record Type	Retention Period	Further Information
Finance Records	6 years (from the end of the current financial year)	Finance Retention Schedule
Operational meeting minutes	3 years (from agreement of minutes)	Management and Administration Retention Schedule
Strategic meeting minutes	Permanent (transfer to Derbyshire Record Office)	Management and Administration Retention Schedule
Statistics	6 years	Management and Administration Retention Schedule
Contract Records	6 years (ordinary contract, 12 years (contract under seal) from end of terms of contract)	Procurement Retention Schedule
Staff Records	7 years from end of employment or 25 years from end of employment (if working in a social care or risk group)	Human Resources Retention Schedule
Cabinet reports	Permanent	Management and Administration Retention Schedule
Interview documents	12 months (for unsuccessful candidates), retain on personnel file for successful candidates	Human Resources Retention Schedule
Majority of health and safety records	7 years (with the exception of asbestos and radiation records)	Health and Safety Retention Schedule
Policies and associated procedures	Permanent (transfer to Derbyshire Record Office)	Management and Administration Retention Schedule

Ref. No.	Functional Description	Retention Period	Examples	Further Information	Storage Location
<b>POLICY AND RESEARCH</b>					
POL 1.1	The process of collecting information to support the council's policy and research functions	Review 10 years from closure, then offer to Derbyshire Record Office	Data collection to support work such as: <ul style="list-style-type: none"> <li>- APEX Corporate Performance Management,</li> <li>- Derbyshire Observatory,</li> <li>- Customer Segmentation,</li> <li>- Profiling,</li> <li>- Production of Policies, reports and briefings</li> <li>- Thriving Communities</li> <li>- Armed Forces Covenant</li> <li>- Equalities and Diversity</li> <li>- Sustainability</li> </ul>	Business need	APEX Secure Server  Shared drive
POL 1.2	The process of administering partnership working with organisations	Destroy 6 years from conclusion of partnership working	Derbyshire Partnership Forum, Parish Forums	Limitations Act 1980	Shared drive
POL 1.3	The process of administering initiatives and organisations managed by the Policy and Research Section	Destroy 6 years from closure (or from termination of grant terms)	Community, Sports, Buildings, Voluntary and Community Priorities Grant Applications	Limitations Act 1980  Includes administering grants (excluding European Social Fund) and projects which the council has been contracted to complete	Shared drive

Ref. No.	Functional Description	Retention Period	Examples	Further Information	Storage Location
POL 1.4	The process of administering grants from the European Social Fund 2007-2013 Programme	Destroy on 31 Dec 2022		European Social Fund (ESF): funding and performance management rules.  For advice on records deriving from other funded programmes, contact the Records Management service.	Shared drive  Offsite storage
POL 1.5	The process of administering and responding to requests for policy/research information from officers and the public	Review 10 years from closure of request	<ul style="list-style-type: none"> <li>- Requests for copies of maps and reports, statistical analyses, reporting and mapping</li> <li>- contact lists for policy and research reports and bulletins</li> <li>- equality and diversity requests</li> </ul>	Business Need (review linked to ten-yearly national census)	Shared drive

Ref. No.	Functional Description	Retention Period	Examples	Further Information	Storage Location
<b>CITIZEN ENGAGEMENT</b>					
POL 2.1	The process of gathering responses during regular corporate consultation and engagement programmes	Review 3 years from closure	Citizens panel records: panel member contact details, demographic information, individual responses to consultations  Literacy Programmes records	Business need  Applies to engagement over a long or indefinite period. For event-driven consultations, see the Management and Administration retention schedule, section 2.3.4.  The scanned image is the copy of record. Paper originals may be destroyed once scanning is verified.	Shared drive
POL 2.2	The process of analysing trends noted during regular corporate consultation and engagement programmes	Review 10 years from closure	Summary data from Citizens Panel, Black Minority Ethnic (BME) Forum, literacy programmes, ethnographic research, etc	Business need	Shared drive



Ref. No.	Functional Description	Retention Period	Examples	Further Information	Storage Location
MA 2.5.3	Compliments and Complaints	Destroy 6 years from closure	Putting People First form Email message	The scanned image is the copy of record. Paper originals may be destroyed once scanning is verified, or retained for up to 3 years as a precaution (see MA 2.4.7).	Shared drive
POL 2.3	The process of taking photographs to support consultation and citizen engagement activities, and to provide evidence of such activities	Destroy 10 years from end of use		Business Requirement  For more general publicity photographs, see Management and Administration retention schedule, section 2.7.1.	Shared drive

## ADMINISTRATION

### See Management and Administration retention schedule (MA)

MA 2.1.6-2.1.7	Public consultation groups, e.g. BME Forum	Destroy 10 years from last amendment			
MA 2.1.8	Staff welfare groups, e.g. LGBT employee group minutes	Destroy 7 years from last amendment			

Ref. No.	Functional Description	Retention Period	Examples	Further Information	Storage Location
MA 2.1.9-2.1.10	Partnerships, e.g. DPF meeting minutes and associated records	Destroy 10 years from last amendment			
			Destroy local copies after 3 years if the partner organisation bears secretarial responsibility		
MA 2.4.4	Information Sharing Agreements	Destroy 7 years from cessation of activity requiring the sharing of information			