



DERBYSHIRE COUNTY COUNCIL

Trading Standards Retention Schedule



Version History				
Version	Date	Detail	Author	Responsible Officer
1.00	16/11/10	Completed for distribution	David Jenkins	
1.01	03/02/11	Approved by Departmental Management Team	David Jenkins	
1.02	23/02/12	Reviewed and updated – formatting changes; minor typing errors corrected; section on property and land management added; and appendix on disposal process included	David Jenkins	
2.00	May 2013	Review dates replaced with destruction dates. Human Resources Section Removed. Addition of retention periods for certain licensing and investigation records.	David Jenkins	
3.00	June 2014	Retention of petroleum filing stations (TS 3.7.1) increased to permanent Removal of ‘Cultural and Community Services’ following restructure. Removal of sections on Management and Administration, Property etc	David Jenkins	Matthew Walters/Alison Bailey
4.00	Sept 2014	Removal of reference to scientific advice and replacing with notifications (3.2.4); removal of reference to salvage operators/scrap yards etc (3.6.1)	David Jenkins	M.Walters/A. Bailey
5.00	June 2017	Re-formatted and re-numbered	David Jenkins	Alison Bailey
5.01	12/03/2019	“At a glance” section: interview notes changed from 6 months to 12 months	Mark Smith	
6.00	July 2019	Removal of obsolete lines TS 1.02, 2.05, 3.02, 3.04. New rule TS 2.11 for Primary Authority assured advice. TS 5.02 more generic (“community engagement”), with Trusted Trader moved to Examples. Heart of Derbyshire deleted following transfer to Public Health. New retention on TS 4.06, up to 100 years. Legislative references made neater using cross-reference.	Mark Smith/ Alison Bailey	Graham Morgan

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 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
Laboratory Procedures Development and Management					
For list of applicable legislation, see Business Legislation section of www.derbyshire.gov.uk/tradingstandards . Acts, regulations and guidance listed below only where there is a clear connection to retention requirements.					
TS 1.01	Document control, preparation, approval and distribution	Destroy 6 years after superseded			Service area
TS 1.02	Collaborative trials	Destroy 6 years from completion of trial			Service area
TS 1.03	Laboratory procedures review	Destroy 6 years from superseded			Service area
TS 1.04	The process of developing procedures and managing chemical waste	Destroy 40 years from closure of record		Control of Substances Hazardous to Health Regulations 2002	Service area
TS 1.05	The process of auditing laboratory procedures	Destroy 6 years from date created			Service area
Advice and Information Provision					
For list of applicable legislation, see Business Legislation section of www.derbyshire.gov.uk/tradingstandards . Acts, regulations and guidance listed below only where there is a clear connection to retention requirements.					
TS 2.01	The process of providing consumer advice	Destroy 6 years from date created			Service area
TS 2.02	The process of liaising with businesses and providing non-assured business advice	Destroy 6 years from date created		For assured advice, see TS 2.11	Service area
TS 2.03	The process of undertaking an advisory visit to traders	Destroy 6 years from date created			Service area

Ref. No.	Functional Description	Retention Period	Examples	Further Information	Storage Location
TS 2.04	The process of receiving notifications where no action has been taken (for the purposes of trend analysis)	Destroy 6 years from end of year		Business Requirement	Service area
TS 2.05	Number not used				
TS 2.06	Petroleum Land Searches	Destroy 12 years from date created		Petroleum Consolidation Act 1928	Service area
TS 2.07	The process of issuing public alerts	Destroy 6 years from date issued			Service area
TS 2.08	The process of recruiting and training volunteers for test purchases etc	Destroy when volunteer resigns			Service area
TS 2.09	The process of producing leaflets for information/advice	Destroy 6 years after superseded		Final published leaflets retained permanently (see PR 2.2)	Service area
TS 2.10	The process of making referrals to other agencies/authorities	Destroy 6 year from date issued			Service area
TS 2.11	The process of providing assured business advice	Permanent	Primary Authority Advice	Business Requirement	Service area

Licensing and Registration

For list of applicable legislation, see Business Legislation section of www.derbyshire.gov.uk/tradingstandards. Acts, regulations and guidance listed below only where there is a clear connection to retention requirements.

TS 3.01	The process of licensing petroleum spirit	Destroy 12 years from date record closed		Petroleum Consolidation Act 1928	Service area
TS 3.02	Number not used				

Ref. No.	Functional Description	Retention Period	Examples	Further Information	Storage Location
TS 3.03	The process of registering storage premises for explosives	Destroy 6 years from expiration of registration			Service area
TS 3.04	Number not used				
TS 3.05	The process of licensing the movement of livestock	Destroy 6 months from date of movement			Service area
TS 3.06	The process commenting on the licensing of alcohol	Destroy 6 years from expiration of registration			Service area

Inspection and Monitoring

For list of applicable legislation, see Business Legislation section of www.derbyshire.gov.uk/tradingstandards. Acts, regulations and guidance listed below only where there is a clear connection to retention requirements.

TS 4.01	The process of inspecting and monitoring animal health and welfare	Destroy 6 years from closure of record			Service area
TS 4.02	The process of inspecting and monitoring the transport of animals	Destroy 6 years from closure of record			Service area
TS 4.03	The process of inspecting and monitoring in the event of an outbreak of animal diseases	Permanent			Service area
TS 4.04	The process of inspecting and monitoring food and product safety	Destroy 6 years from end of activity/end of life of product/equipment			Service area

Ref. No.	Functional Description	Retention Period	Examples	Further Information	Storage Location
TS 4.05	The process of inspecting and monitoring the sale of age restricted products	Destroy 6 years from end of activity			Service area
TS 4.06	The process of inspecting and monitoring feed premises	Destroy 6 years from closure of business or changed ownership; otherwise 100 years from end of activity		Feed Law Code of Practice	Service area

Fair Trading and Consumer Protection

For list of applicable legislation, see Business Legislation section of www.derbyshire.gov.uk/tradingstandards. Acts, regulations and guidance listed below only where there is a clear connection to retention requirements.

TS 5.01	The process of ensuring fair trading	Destroy 6 years from end of activity			Service area
TS 5.02	The process of administering community engagement schemes	Destroy 6 years from termination of membership	Trusted Trader scheme records		Service area

Petroleum Filling Stations

TS 6.01	The process of monitoring the construction, modification, and decommissioning of petroleum filling stations	Permanent.			Service area
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Ref. No.	Functional Description	Retention Period	Examples	Further Information	Storage Location
Investigation					
TS 7.01	The process of responding to complaints	Destroy 6 years from resolution of complaint (or review 6 years from date of complaint if not resolved)			Service area
TS 7.02	The process of gathering intelligence and making assessments from that intelligence	Destroy 6 years from resolution of action the investigation concerned			Service area
TS 7.03	The process of undertaking an investigation	Destroy 6 years from closure of investigation and completion of any associated legal proceedings (if resulting in a custodial sentence ensure records are kept for the length of sentence plus 1 year)			Service area
Acquisition, Seizure of Property, and Sampling					
TS 8.01	The process of seizing products	Destroy 6 years from date record created			Service area
TS 8.02	The process of sampling (including receipting and transferring for testing)	Destroy 6 years from date record created			Service area

Ref. No.	Functional Description	Retention Period	Examples	Further Information	Storage Location
TS 8.03	The process of handling seizures	Destroy 6 years from date record closed			Service area
Laboratory Testing and Analysis					
TS 9.01	The process of laboratory testing (Excluding environmental testing)	Destroy 6 years from date record closed		UK Accreditation Service (UKAS) Requirement	Service area
TS 9.02	The process of environmental testing	Destroy 12 years from date record closed			Service area
TS 9.03	The process of laboratory analysis	Destroy 6 years from date record closed		UKAS Requirement	Service area
Equipment Testing, Maintenance and Calibration					
TS 10.01	The process of recording specifications	Destroy 6 years from date superseded		UKAS Requirement	Service area
TS 10.02	The process of recording test methods	Destroy 6 years from superseded			Service area
TS 10.03	The process of testing, maintaining, and calibrating in-house equipment	Destroy 6 years following the disposal of equipment		UKAS Requirement	Service area
TS 10.04	The process of testing, maintaining, and calibrating external client equipment	Destroy 10 years from calibration			Service area