



# Hertfordshire County Council Retention & Disposal Schedule Version 3.1

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## 1. Document information and approval

### 1.1. Document information

<b>Document name</b>	Retention and Disposal Schedule
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### 1.2. Document history

Version	Description	Author	Date
Version 1.0	Document approved	Records Management Society of Great Britain	2003
Version 2.0	Document approved	Hertfordshire County Council	30/01/2015
Version 3.0	Document Review	Hertfordshire County Council	07/05/19
Version 3.1	Document Review	Hertfordshire County Council	01/05/2020

### 1.3. Document Review

Reviewed by	Date
Policy & Resources Officer Group	07/05/2019



## **2. Establishment of the Guidelines**

### **2.1. Scope of the Schedule**

- 2.1.1. This Retention Schedule has been revised to reflect changes in legal requirements and revised practice. It is based upon the Local Government Association's Retention Guidance for local government services, issued in 2014 and the original Guidelines to support local authorities, issued by the Records Management Society of Great Britain in 2003.
- 2.1.2. The schedule covers the complete cycle of records and information from creation through to destruction or retention for historical or research purposes.
- 2.1.3. Records intended for destruction under the Schedule may be destroyed in accordance with the Council's Records Management Policy. Backup copies stored on alternative media (server/microfilm/paper) should also be destroyed. This is vital to ensure compliance with the requirements of Data Protection and Freedom of Information legislation.
- 2.1.4. Records for permanent preservation should be passed to the Council's Archivist.

### **2.2. Limitation of Scope**

- 2.2.1. This Schedule is not intended to cover school records, however the majority of school administration records can be managed under this Schedule.

### **2.3. Purpose of the Retention Schedule**

- 2.3.1. The purpose of the Schedule is to:
- Prevent the premature destruction of records that need to be retained for a specified period to satisfy legal, financial and other requirements of public administration.
  - Provide consistency for the destruction of those records not required permanently after specified periods.
  - Assist in identifying records that may be worth preserving permanently as part of the County Council's archives.
  - Promote improved Records Management practices within the County Council

### **2.4. Transfer of Records to Archival Storage**

- 2.4.1. Departments wishing to transfer permanent records to archival custody should contact the Archivist in Hertfordshire Archives and Local Studies on transfer procedures. The collection policies of individual archives vary; the identification of classes of records here as suitable for archives are for guidance only. The Records Management Service can provide further guidance if required.
- 2.4.2. The Data Protection Act provides an exemption for information about identifiable living individuals that is held for research, statistical or historical purposes to be held indefinitely, provided specific requirements are met. It is the responsibility of the Archivist to ensure these requirements are met.

- 2.4.3. Records identified in this schedule as ‘permanent’ are marked ‘Offer to Archivist’. The Archivist may choose to select a sample of the records for permanent preservation in the archives; the remainder should be destroyed in accordance with Section 1.6 below.
- 2.4.4. **‘Offer to Archivist for review’** is used to indicate record classes where the Archivist will not usually be interested in retaining the class of records, but may wish to retain those concerning high profile or controversial policies/projects.
- 2.4.5. Records no longer required for administrative use may still retain sensitive information. The Archivist should be informed of sensitivity at the time of transfer of the material to the archives, and an appropriate closure period agreed. The closure period should comply with Freedom of Information legislation and the council’s Records Management policy.

## 2.5. Destruction of Records

- 2.5.1. Whenever a legal discovery request, or a Freedom of Information request concerning specific records has been received by the council that record must not be amended or disposed of until the litigation has ended or the Freedom of information request process has finished.
- 2.5.2. When records identified for disposal in the Schedule are destroyed, a register of such records needs to be kept. For records not covered by the Schedule contact the Record Management Service, for further advice. Enough details should be retained to identify which records have been destroyed.
- 2.5.3. The Records Management Service will hold the disposal register. All records destroyed by the Records Management Service will automatically be placed on the disposal register. Records (apart from those destroyed under Standard Operating Procedure) destroyed within departments must be reported to the Records Management Service.
- 2.5.4. This report should be in an excel spreadsheet with the following information: file number, title of file (including first and last name if it includes personal details), dates of file existence, date file destroyed, reference number from this document as to reason for destruction, name of person authorising destruction.

## 2.6. Standard Operating Procedure (SOP)

- 2.6.1. There are some records that do not need to be kept at all; Standard Operating Procedure defines types of records which staff may routinely destroy in the normal course of business.
- 2.6.2. SOP usually applies to information that is duplicated, unimportant or only of short-term facilitative value. Unimportant records or information include:
- ‘with compliments’ slips
  - catalogues and trade journals
  - telephone message slips
  - non-acceptance of invitations
  - electronic mail messages or notes that are not related to council business
  - requests for stock information such as maps, plans or advertising material
  - out-of-date distribution lists
  - working papers or notes which lead to a final report

- Draft minutes that have an agreed final set of minutes

2.6.3. Duplicated and superseded material such as stationery, manuals, drafts, forms, address books and reference copies of 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.

2.6.4. SOP should not be applied to records or information that can be used as evidence – to prove that something happened. If you are in doubt about what information is required contact the Records Management Service.

## 2.7. Heads of Service responsibilities

2.7.1. It is an internal audit requirement for Heads of Service to review whether adequate procedure notes for data retention exist within their service area. If adequate procedure notes do exist these should be created to provide clarity on the local arrangements.

2.7.2. SOP should not be applied to records or information that can be used as evidence – to prove that something happened. If you are in doubt about what information is required contact the Records Management Service.

## 2.8. Business Unit Annual Review of Local records

2.8.1. It is an internal audit requirement for a regular review of all documents held locally. This review needs to take place on an annual basis.

2.8.2. This annual review will help to ensure records no longer required are archived or destroyed in line with this retention schedule.

2.8.3. The requirement for an annual review should also be include into any local procedure notes..

## 2.9. Reviewing the Schedule

This Schedule prescribes minimum and permanent retention periods these will be reviewed at regular intervals.

## 2.10. Contact

*Records Management Service  
Room 44  
County Hall  
Pegs Lane  
SG13 8EJ*

*Phone: 01992 556 714  
Comnet; 26714*

[RMS@hertfordshire.gov.uk](mailto:RMS@hertfordshire.gov.uk)

## Explanation of Retention Guidelines Headings

These Retention Guidelines are divided into sections for functions or services that are undertaken by the county council.

### 2.11. Reference number

2.11.1. The function or entry reference number provides citation and ease of reference.

### 2.12. Function

2.12.1. The name of each function is specified in this entry. This relates to a group of records that perform the same activity.

### 2.13. Function Description

2.13.1. The Schedule provides notes that define each function in terms of related activities.

2.13.2. The Schedule may also include instructions or guidelines relating to weeding, sampling disposition provisions, information on duplication of record content in other classes and cross-references to other entries within the Schedule.

### 2.14. Retention Action

2.14.1. This entry provides the archival status of each process being either permanent or temporary. In relation to the temporary status of records the entry also provides a retention period or sentence specifying how long the records should be kept prior to destruction and the activity, transaction or event to which the retention period or sentence should be tied.

### 2.15. Examples of Records

2.15.1. This section provides common examples of the type of records included within the particular function. This list is not exhaustive and Local Authorities should feel free to annotate their copy of the Schedule with local names of the examples listed if required.

### 2.16. Notes

2.16.1. This indicates if the retention action is common practice or statutory.

### 2.17. Glossary of terms

**Administrative Use.** When business use has been ended or the file has been closed.

**Closure.** ' Destroy 'x' years from closure '. A record/file is closed when it ceases to be active. After closure, no new papers/information should be added to the record. Triggers for closure of a file include: reaching an unmanageable size; covering a period of 'x' years or more; no records added for 'x' period of time; no action taken after 'x' period of time.





**Closure period.** Specified period of time during which the record is subject to restrictions on provision of access to staff and/or the public may be dictated by statutory requirements or by the authority's policy. Any closure period should comply with current legislation on access to local government information - including the Data Protection and Freedom of Information Acts.

**Common practice.** Standard practice followed by a number of Local authorities.

**Creation.** Date an individual record was created. On livelink and in other systems of HCC this will be defined as date registered on that system or the actually data created if it can be automatically captured..

**DOD.** Date of Death

**Last action.** ' Destroy 'x' years after last action '. Date of most recent amendment / addition / deletion of information.

**Permanent.** Records which must be kept indefinitely [or for approximately 100 years] for legal and/or administrative purposes, and/or are of enduring value for historical research purposes and so suitable for transfer to the authority's archive or place of deposit.

**Place of deposit.** For Hertfordshire this is Hertfordshire Archive and Local Studies

Register Office Block  
County Hall  
Hertford  
SG13 8EJ  
hals@hertfordshire.gov.uk

## Retention & Disposal Schedule

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# Democratic Processes

General Disposal Guidelines for Hertfordshire County Council

Ref No.	Function Description	Retention Action	Examples of Records
<b>Elections</b>			
HCC 1.1	Summary certification of those eligible to vote	<b>Permanent.</b> Transfer to Hertfordshire Archive and Local Studies.	<ul style="list-style-type: none"> <li>Electoral Register</li> </ul>
HCC 1.2	Voting (Local elections only)	Destroy <b>6</b> months from close of poll	<ul style="list-style-type: none"> <li>Ballot papers</li> </ul>
HCC 1.3	Declaration of results (local elections only)	Destroy <b>6</b> months from date of election	<ul style="list-style-type: none"> <li>Consolidated returns of votes received</li> </ul>
<b>Council and Committee Meetings</b>			
HCC 1.4	The process of preparing business for Council consideration and making the record of discussion, debate and resolutions	<b>Permanent. Offer to Archivist.</b> Transfer to Hertfordshire Archive and Local Studies after creation of archival copy	<ul style="list-style-type: none"> <li>Council minutes</li> <li>Council agenda and business papers</li> <li>Council notice papers and proceedings</li> <li>Indexes</li> <li>Committee minutes</li> <li>Registers of delegations to Special Committees</li> </ul>
HCC 1.5	Minute taking	Destroy 6 months after creation	<ul style="list-style-type: none"> <li>Draft/rough minutes</li> <li>Audio tapes</li> <li>Videos</li> </ul>
<b>Partnership, Agency and External Meetings</b>			
HCC 1.6	The process of preparing business for partnership and agencies consideration and making the record of discussion, debate and resolutions, where the local authority legally <b>owns</b> the record.	Review <b>15</b> years after creation. Destroy records of partnership/agencies of no continuing value. Transfer to HALS or records of continuing value.	<ul style="list-style-type: none"> <li>Documents establishing the committee</li> <li>Agendas</li> <li>Minutes</li> <li>Council reports</li> <li>Recommendations</li> <li>Supporting documents such as Council briefing and discussion papers</li> <li>Public Health Board</li> <li>Health and well being board</li> </ul>

## Democratic Processes

General Disposal Guidelines for Hertfordshire County Council

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Ref No.	Function Description	Retention Action	Examples of Records
HCC 1.7	The process of preparing business for external committees' consideration, and making the record of discussion, debate and resolutions, where the local authority <b>does not</b> own the record.	Destroy <b>4</b> years from creation	<ul style="list-style-type: none"><li>• Documents establishing the committee</li><li>• Reports</li><li>• Recommendations</li><li>• Supporting documents such as briefing and discussion papers.</li></ul>
<b>Honours and Submissions</b>			
HCC 1.8	The process of preparing of honours submission	Destroy <b>6</b> years from creation	<ul style="list-style-type: none"><li>• Honours nomination form</li><li>• Covering documentation</li><li>• Letters of support</li><li>• Referral for comment from lord lieutenant</li></ul>
<b>POLITICAL PARTIES PAPERS</b>			
HCC 1.9	The process of undertaking representation of the local authority - local authority representatives	Destroy <b>3</b> years after last action	<ul style="list-style-type: none"><li>• Leader of opposition papers</li><li>• Leader of council papers</li></ul>

Ref. No.	Function Description	Retention Action	Examples of Records
	<b>Corporate Planning and Reporting</b>		
HCC 2.1	The corporate planning and reporting activities of local authorities	<b>Permanent.</b> Transfer to Hertfordshire Archive and Local Studies on creation.	<ul style="list-style-type: none"> <li>• Corporate Plans</li> <li>• Strategy Plans</li> <li>• Annual Reports</li> <li>• Annual Public Health Report</li> </ul>
HCC 2.2	The process of preparing business for strategic consideration and making the record of discussion, debate and resolutions	<b>Permanent.</b> Transfer to Hertfordshire Archive and Local Studies <b>10</b> years from creation	<ul style="list-style-type: none"> <li>• Strategic management team minutes</li> </ul>
HCC 2.3	The process of preparing business for cross departmental consideration and making the record of discussion, debate and resolutions	Destroy <b>8</b> years from creation	<ul style="list-style-type: none"> <li>• PROG minutes</li> <li>• HCS board minutes</li> <li>• CS board minutes</li> </ul>
HCC 2.4	The process of preparing business for Unit/Team consideration and making the record of discussion, debate and resolutions	Destroy <b>4</b> years from creation	
	<b>Statutory returns</b>		
HCC 2.5	The process of preparing information to be passed on to central government as part of statutory requirements	Destroy <b>8</b> years from creation	<ul style="list-style-type: none"> <li>• Reports to central government</li> </ul>

# Management and Administration

Ref. No.	Function Description	Retention Action	Examples of Records
	<b>Policy, Procedures, Strategy and Structure</b>		
HCC 2.6	Activities that develop policies, procedures, strategies and structures for the local authorities	Review <b>25</b> years after creation.	<ul style="list-style-type: none"> <li>• Policy, procedure, precedent, instructions</li> <li>• Organisation charts</li> <li>• Records relating to policy implementation and development</li> <li>• Education plan</li> <li>• Asset management plan</li> <li>• Children' s services plan</li> <li>• Community strategy</li> <li>• Community plan</li> <li>• Community safety plan</li> <li>• Information policies</li> </ul>
HCC 2.7	The process of monitoring and reviewing strategic plans, policies or procedure to assess their compliance with guidelines	Destroy <b>6</b> years from creation	
	<b>Public Consultation</b>		
HCC 2.8	The process of consulting the public and staff in the development of significant policies of the local authority	Destroy <b>6</b> years from creation	
HCC 2.9	The process of consulting the public and staff in the development of minor policies of the local authority	Destroy <b>2</b> year from creation	
	<b>Information Management</b>		
HCC 2.10	The management of collections of records transferred to the archives	<b>Permanent.</b> Transfer to Hertfordshire Archive and Local Studies after creation.	<ul style="list-style-type: none"> <li>• Accession registers</li> <li>• Depositor files</li> </ul>

# Management and Administration

Ref. No.	Function Description	Retention Action	Examples of Records
HCC 2.11	The process that records the disposal of records	Destroy <b>12</b> years after destruction	<ul style="list-style-type: none"><li>• Disposal certificates</li></ul>
	<b>Enquiries and Complaints</b>		
HCC 2.12	The management of enquiries, submissions and complaints which result in significant changes to policy or procedures	<b>Permanent</b> Transfer to Hertfordshire Archive and Local Studies after closure.	<ul style="list-style-type: none"><li>• Public inquiry</li><li>• Reports</li><li>• Returns</li><li>• Correspondence</li></ul>
HCC 2.13	The management of complaints and enquiries that require a detailed response. <b>Note;</b> Client complaints need to be kept the same length of time as the client file so should be attached to the electronic client file on Livelink.	Destroy <b>8</b> years from creation	<ul style="list-style-type: none"><li>• Reports</li><li>• Returns</li><li>• Correspondence</li><li>• Ombudsman Stages 1-3</li><li>• Subject Access Requests</li><li>• Freedom of Information requests</li><li>• ICO complaints</li></ul>
HCC 2,14 A	Initial enquiries in regards social Care (Children or Adults) held on Customer Services system. Note the information is also held in the relevant section on the relevant social care files for a different defined period. See section 3 below.	Destroy <b>8</b> years from Creation	

# Management and Administration

Ref. No.	Function Description	Retention Action	Examples of Records
HCC 2.14	<p>The Initial handling of routine responses to complaints, compliments and enquiries. More indepth handling of these areas would fit under the functional area elsewhere in this schedule.</p>	Destroy <b>2</b> years from creation	<ul style="list-style-type: none"><li>• Printed material</li><li>• Form letters</li><li>• Compliments</li></ul> <p>This includes the uncontentious elements in Customer service system</p> <ul style="list-style-type: none"><li>• Main phone and email enquiries</li><li>• Customer history regarding enquiries and comments</li><li>• Library enquiries</li><li>• Registrar enquiries</li><li>• Free school meals</li><li>• Highways fault reporting, Skips and scaffolds, dropped kerbs.</li><li>• Bus ticket enquiries</li></ul>
	<p><b>Audio records to Customer Service Centre</b></p>		
HCC 2.15	<p>Audio recordings of telephone calls to the Customer service centre.</p>	Destroy <b>1</b> year from creation	<ul style="list-style-type: none"><li>• Phone calls to customer services</li></ul>
	<p><b>Quality and performance management</b></p>		
HCC 2.16	<p>The process of monitoring, assessing or reviewing the quality, efficiency, or performance of a service or unit</p>	Destroy <b>5</b> years from creation	<ul style="list-style-type: none"><li>• ARM &amp; SRM reports and action plans</li><li>• Balanced scorecards</li><li>• Quality monitoring reports</li><li>• Practice audits</li><li>• User consultation</li></ul>



# Management and Administration

General Disposal Guidelines for Local Authorities

Hertfordshire County Council

Ref. No.	Function Description	Retention Action	Examples of Records
<b>Public Relations Publications</b>			
HCC 2.17	The process of designing setting information for publication	Destroy <b>3</b> years from creation	
HCC 2.18	The published work of the local authority	Destroy after administrative use is concluded <b>Note:</b> One copy from the initial print run should go directly to the Hertfordshire Archive and Local Studies.	<ul style="list-style-type: none"><li>• Leaflets</li><li>• Publications</li></ul>
<b>Media Relations</b>			
HCC 2.19	Process of interaction with the media	Destroy <b>3</b> years from creation	<ul style="list-style-type: none"><li>• Media releases</li></ul>
<b>Civic and Royal Events</b>			
HCC 2.20	The recording of ceremonial events and civic occasions	<b>Permanent.</b> Transfer to Hertfordshire Archive and Local Studies on closure	<ul style="list-style-type: none"><li>• Visitors' book</li><li>• Audio recordings</li><li>• Audio visual recordings</li><li>• Photographs</li><li>• Remembrance books</li></ul>
HCC 2.21	The process of organising a ceremonial event or civic occasions	Destroy <b>8</b> years after creation	

Ref No.	Function Description	Retention Action	Examples of Records
HCC 2.22 A	<p><b>Information obtained only by consent</b></p> <p>Information held on a databases or similar, only under the basis of consent (DPA and GDPR). -When asked to be removed</p> <p><b>Note – All requests for information to be deleted or altered must be approved by Data Protection Team.</b></p>	<p>Destroy within 1 month of request by the individual. For complex cases this can be extended to 3 months.</p>	<ul style="list-style-type: none"> <li>• Mailing lists</li> <li>• Non statutory surveys and questionnaires</li> </ul>
HCC 2.22 B	<p>Information held on a databases or similar, only under the basis of consent (DPA and GDPR). - When not asked to be removed</p>	<p>Destroy <b>3</b> years from creation. If you still believe the individuals want the information held you need to reconfirm consent.</p>	<ul style="list-style-type: none"> <li>• Mailing lists</li> <li>• Non statutory surveys and questionnaires</li> </ul>
HCC 2.23	<p>Requests for information to be deleted or altered</p> <p><b>Note – All requests for information to be deleted or altered must be approved by Data Protection Team.</b></p>	<p>Destroy 7 years from creation</p>	<ul style="list-style-type: none"> <li>• Email that requests for specific information to be deleted based on GDPR/DPA</li> </ul>
HCC 2.24	<p>Process on gathering the consent to hold from an individual where the basis is only by consent.</p>	<p>Destroy <b>10</b> years from creation</p>	<ul style="list-style-type: none"> <li>• Consent forms</li> <li>• Data gathered via online consent</li> </ul>

## Diaries

HCC 2.25 Business unit diaries used to record the actions and meetings of the team. Destroy **2** years after creation.

Note this does not include diaries for places where service users live or spend a large amount of time looked after by HCC, For example Children's homes (see HCC3.27), Supported living (see HCC 3.38) or Day service (see HCC 3.39) establishments.

HCC 2.26 Individual staff diaries used to record the actions and meetings for the individual. Destroy **2** years after creation

- Any longer term critical information to the council must be transferred and noted on that file.
- Any information related to a service user must be added to the service user file.

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Ref. No.	Function Description	Retention Action	Examples of Records
	<b>Children's individual case management</b>		
IICS A	Independent Inquiry into Child Sexual Abuse (IICSA) 23 June 2015 letter from the then chair asking for a raft of categories of records to be retained until further notice  <a href="http://drmlfepd.hertscc.gov.uk/livelink/livelink.exe/open/41132528">http://drmlfepd.hertscc.gov.uk/livelink/livelink.exe/open/41132528</a>		
HCC 3.1	Summary core records of all children (or adults who are a danger to children) who have been involved with the Council's children's social care or Educational institutions.	<b>Permanent</b> On discontinuation of system core details of children over the age of 25 is to be transferred to archive.	<ul style="list-style-type: none"> <li>• Children's home register</li> <li>• ICS – core data on client.</li> <li>• Schedule 1 offenders register</li> <li>• Child protection register</li> <li>• Children's home Registers</li> <li>• School census data</li> </ul>
HCC 3.2	<b>Children Looked After</b> Process involving individual case management of children looked after by the council;  <ol style="list-style-type: none"> <li>1. In children's home</li> <li>2. Fostered by local authority</li> <li>3. On custodianship orders</li> <li>4. On residence orders</li> </ol> <p>Note does not include children adopted via the council.</p>	<b>Destroy 75</b> years from Date of Birth	<ul style="list-style-type: none"> <li>• Young persons being looked after files</li> <li>• CLA client files</li> <li>• Residential care children's file</li> <li>• Privately fostered children's file</li> <li>• Leaving care files</li> </ul>
HCC 3.3	<b>Adoption Files</b> Process involving individual case management of children adopted via the local authority This includes children and young people:	<b>Destroy 118</b> years from Date of Birth	<ul style="list-style-type: none"> <li>• Adoption files</li> <li>• counselling files</li> </ul>

# Client Services

Ref. No.	Function Description	Retention Action	Examples of Records
HCC 3.3B	Duplicated information packs prepared for discussion at adoption panel.	<b>Destroy 6 months</b> from creation	
HCC 3.4	<b>Child Protection</b> Process involving individual case assessment, investigation, registration, and management of children involved in child protection: a) investigated, conferenced and registered b) core assessment c) investigated but not conferenced and registered	Destroy <b>50</b> years from DOB.  Note: If the child protection case is about a child in care, the file is kept for as long as the adoption/fostering or looked after file, see 3.2.	<ul style="list-style-type: none"><li>• Child protection case files which have<ul style="list-style-type: none"><li>a) Conference minutes</li><li>b) Core assessment</li><li>c) Investigation</li><li>d) Registration</li></ul></li></ul>
HCC 3.4A	Process involving recording information about a person “who pose a risk to children”	Destroy <b>100</b> years from date of Birth	<ul style="list-style-type: none"><li>• Schedule 1 offenders</li></ul>
HCC 3.5	Process involving individual cases involving initial assessment and provision of advice in regards child protection	Destroy <b>15</b> years from creation	<ul style="list-style-type: none"><li>• Child protection files<ul style="list-style-type: none"><li>a) Initial assessment</li><li>b) Advice only</li></ul></li></ul>
HCC 3.6	<b>Children in Need</b> Children in need (who have not been adopted or looked after and who have not been the subject of a child protection inquiry)	Destroy <b>15</b> years from creation	<ul style="list-style-type: none"><li>• How we can help forms</li></ul>

# Client Services

Ref. No.	Function Description	Retention Action	Examples of Records
	<b>Asylum Children</b>		
HCC 3.7	Process involving individual case management of services or support to unaccompanied minors	Destroy <b>25</b> years from DOB.  Note if Child is Looked After by the Council use 3.2 above.	
	<b>Youth services</b>		
HCC 3.8	Process involving individual case management of services or support to youth.	Destroy <b>15</b> years from creation.	<ul style="list-style-type: none"><li>• Youth Service client files</li><li>• Youth Justice</li></ul>
	<b>Individual Educational Support Needs</b>		
HCC 3.9	Process involving in assessing and providing individual support for children who have need of additional educational support	Destroy <b>35</b> years from DOB	<ul style="list-style-type: none"><li>• Special Education needs files</li><li>• Home and hospital</li><li>• Educational Psychology</li><li>• Educational Welfare</li><li>• Disabled Children</li></ul>
	<b>Admissions and Exclusions</b>		
HCC 3.10	Process involved in the school admissions and exclusion appeals	Destroy <b>25</b> years from DOB	<ul style="list-style-type: none"><li>• Appeal files</li><li>• Exclusion files</li></ul>
HCC 3.10A	Process involved in allocation of children to schools	Destroy <b>3</b> years from closure	<ul style="list-style-type: none"><li>• School admission forms</li></ul>
	<b>Student finance</b>		
HCC 3.11	Redundant process relating to the operation of the student grants scheme.	Destroy 10 years from last closure.	<ul style="list-style-type: none"><li>• Student grants</li></ul>

# Client Services

Ref. No.	Function Description	Retention Action	Examples of Records
	<b>Adoptive parent and Foster carer files</b>		
HCC 3.12	Process involved in checking the suitability of people who have become adoptive parents	Destroy <b>102</b> years from creation	<ul style="list-style-type: none"><li>• Approved Adopter parent files</li><li>• Adoptive parent counselling files</li></ul>
HCC 3.13	Process involving individual case management of families or adults who have fostered children in their care <b>Note:</b> Foster care financial files see <b>Financial management</b>	Destroy <b>50</b> years from creation	<ul style="list-style-type: none"><li>• Foster carer files</li><li>• Supported lodging files</li></ul>
HCC 3.14	Process involved in checking the suitability of people to become adoptive parents or foster carers where the council has decided they are not suitable.	Destroy <b>35</b> years from creation	Unsuccessfully initially; <ul style="list-style-type: none"><li>• At police check</li><li>• At panel</li><li>• VBS</li></ul>
HCC 3.14 B	Process involved in checking the suitability of people to become adoptive parents or foster carers where the prospective carers adoptive parents withdraw from the process.	Destroy <b>8</b> years from creation	Where individuals have decided to withdraw from process where the council have identified a specific issue.
	<b>Family Support</b>		
HCC 3.15	Process involving individual case management in the provision of support by the local authority to families	Destroy <b>15</b> years from creation	<ul style="list-style-type: none"><li>• Parenting skill courses</li><li>• Children centres</li></ul>



# Client Services

Ref. No.	Function Description	Retention Action	Examples of Records
HCC 3.16	Process involved in assessing a family's suitability in the care of children	Destroy <b>15</b> years from creation. Note; If Child is later in care use, or subject to child protection or adoption use codes above.	
<b>Performing Children Licences</b>			
HCC 3.17	Process on the registration of performing children	Destroy <b>25</b> years from creation	
HCC 3.18	Process on the registration of chaperones	Destroy <b>25</b> years from creation	
<b>Projects for children and Young people</b>			
HCC 3.19	Process involved in development of services or programmes for children	Destroy <b>8</b> years from Creation	
HCC 3.25	Process involved in provision of services or programmes to support the development of children under age 11.	<b>Destroy 25</b> years from creation	
HCC 3.26	Process involved in provision of a services or programmes to support the development of young persons	<b>Destroy 15</b> years from creation	
<b>Children residential homes</b>			
HCC 3.27	Documents relating to the operation of Children residential units establishment in relation to the supervision and support of the children.	<b>Destroy 50</b> years from creation	<ul style="list-style-type: none"><li>• Diaries</li><li>• Hand over book</li><li>• Rotas</li><li>• Daily logs</li></ul>
	<b>Note</b> does not include facility management records of the property.		

# Client Services

Ref. No.	Function Description	Retention Action	Examples of Records
HCC 3.28	Guardian Ad-Litem Documents relating to closed case from the Guardian Ad Litem service, held in Hertfordshire County Council, pre set up of CAFCASS.	<b>Destroy 75</b> years from Date of Birth	<ul style="list-style-type: none"> <li>• GAL</li> <li>• Guardian ad Litem court records</li> </ul>
<b>Adult and Elderly Case files</b>			
HCC 3.30	Summary core records of services or support to adults	<b>Permanent</b> On discontinuation of system core details of adults who are closed	Summary data from ACSIS
<b>Mental illness Case files</b>			
HCC 3.31	Process involving in assessing and providing individual support for adults with mental illness.	Destroy <b>20</b> years after creation	<ul style="list-style-type: none"> <li>• Mental Health files</li> </ul>
<b>Learning Disability or Sensory Impairment Case files</b>			
HCC 3.32	Process involving in assessing and providing individual support for adults with Learning difficulties or sensory services	Destroy <b>6</b> years after last contact	<ul style="list-style-type: none"> <li>• Learning disability</li> <li>• Sensory services</li> <li>• Includes residential client files for LD</li> </ul>
<b>Older People and Physically Disabled Case files</b>			
HCC 3.33	Process involving in assessing and providing individual support or services for all other people	Destroy <b>6</b> years after DOD if known otherwise date archived/Closed	<ul style="list-style-type: none"> <li>• OPPD files</li> <li>• Occupational therapy</li> <li>• Home care</li> <li>• Includes provider agency files</li> <li>• Work solutions</li> </ul>
<b>Safeguarding files</b>			
HCC 3.34	All adults who have been the focus of the Safeguarding Adults procedure	Destroy <b>10</b> years after DOD if known otherwise date archived or closed	<ul style="list-style-type: none"> <li>•</li> </ul>
<b>Money advice</b>			

# Client Services

Ref. No.	Function Description	Retention Action	Examples of Records
HCC 3.35	Process around supporting adults in gaining additional financial support that they are entitled. <b>Disabled Parking Permits</b>	Destroy 7 years from creation	<ul style="list-style-type: none"> <li>• Money advice files</li> </ul>
HCC 3.36	Process around the assessment and provision of Disable parking permits	Destroy 3 years 3 months from creation.	<ul style="list-style-type: none"> <li>• Blue badge applications</li> <li>• Purple badge applications</li> </ul>
3.36 A	Hardcopy of blue badge applications that have been scanned,	Destroy maximum of 60 days after scanning, After Blue badge team receive destruction notice.	<ul style="list-style-type: none"> <li>•</li> </ul>
HCC 3.37	<b>Adult education and household support</b> Process involved in provision of services or programmes to adults	<b>Destroy 8</b> years from creation	<ul style="list-style-type: none"> <li>• Lifelong learning</li> <li>• Safe and Well checks</li> <li>• Safe and well projects</li> </ul>
HCC 3.38	<b>Residential Homes &amp; Supported Living</b> Documents relating to the operation of Adult residential, including supported living and respite/short breaks, units establishment in relation to the supervision and support of the adults.  <b>Note</b> does not include facility management records of the property.	<b>Destroy 15</b> years from creation	<ul style="list-style-type: none"> <li>• Service diaries</li> <li>• Message books</li> <li>• Rotas</li> <li>• Daily logs</li> <li>• Medication logs</li> <li>• Hand over sheets</li> </ul>
HCC 3.39	<b>Day Service</b> Documents relating to the operation of Adult Day service for the support of the adults.  <b>Note</b> does not include facility management records of the property.	<b>Destroy 8</b> years from creation	<ul style="list-style-type: none"> <li>• Hand over sheets</li> <li>• Message books</li> <li>• Daily logs</li> <li>• Medication logs</li> </ul>

## Client Services

Ref. No.	Function Description	Retention Action	Examples of Records
HCC 3.40	Process involving individual case management of Carers who are supporting individual adult placements.	Destroy <b>10</b> years from end of last placement	<ul style="list-style-type: none"><li>• Shared lives carers</li><li>• Suitability assessments of adult carers</li></ul>

# Legal and Contracts

Ref. No.	Function Description	Retention Action	Examples of Records
	<b>Legal</b>		
	<b>Litigation and Adult and Children law matters</b>		
HCC 4.1	The process of providing advice or preparation for pre proceedings in case in regards Children	Destroy 35 years from Closure	<ul style="list-style-type: none"><li>• Correspondence files</li></ul>
HCC 4.2	Correspondence in relation to any form of Children Act, Adoption and Children Act (other than Adoption) or Education matters	Destroy 35 years from Closure	<ul style="list-style-type: none"><li>• Correspondence files</li></ul>
HCC 4.3	Court bundle Child related but not adoption.	Destroy 75 years from Closure	<ul style="list-style-type: none"><li>• Court bundle</li></ul>
HCC 4.4	Legal files for adoption cases	Destroy 100 years from Closure	<ul style="list-style-type: none"><li>• Correspondence files</li><li>• Court bundle</li></ul>
HCC 4.5	The process on providing advice or preparation for pre proceedings in case in regards Adults	Destroy 6 years from Closure	<ul style="list-style-type: none"><li>• Correspondence files</li></ul>
HCC 4.6	Any Court or Tribunal proceedings in relation to an adult as an individual	Destroy 10 years from Closure	<ul style="list-style-type: none"><li>• Correspondence files</li><li>• Court bundle</li></ul>
HCC 4.7	The process of managing, undertaking or defending for or against litigation on behalf of the local authority.	Destroy 6 years after last action.	<ul style="list-style-type: none"><li>• Criminal case file</li><li>• Civil case file</li></ul>
HCC 4.8	The process of providing legal advice on a point of law or advice on a policy.	Destroy 6 years after last action	<ul style="list-style-type: none"><li>• Education Helpline</li><li>• Correspondence files</li></ul>
	<b>Agreements</b>		
HCC 4.9	Process of agreeing terms between organisations	Destroy 6 years after agreement expires or is terminated	<ul style="list-style-type: none"><li>• Concordat</li></ul>
	<b>Conveyance</b> (see also <b>Property Acquisition and Disposal</b> )		

# Legal and Contracts

Ref. No.	Function Description	Retention Action	Examples of Records
HCC 4.10	The process of changing ownership of land or property.  Note: for Property deeds see HCC8.2	Destroy <b>12</b> years after closure	<ul style="list-style-type: none"> <li>• Conveyancing files</li> </ul>
HCC 4.11	All other files held by legal services relating to matters not under seal	Destroy <b>6</b> years from closure	
HCC 4.12	All other files held by legal services relating to matters under seal	Destroy <b>12</b> years after closure	
<b>Contracts and Tendering</b>			
<b>Pre Contract Advice</b>			
HCC 4.14	The process of calling for expressions of interest	Destroy <b>2</b> years after contract let or not proceeded with	<ul style="list-style-type: none"> <li>• Expressions of Interest</li> </ul>
<b>Specification and Contract Development</b>			
HCC 4.15	The process involved in the development and specification of a <b>ordinary</b> contract	Destroy <b>6</b> years after the terms of contract have expired	<ul style="list-style-type: none"> <li>• Quotations</li> <li>• Final version of Tender specification</li> </ul> <p>Note: For project files containing drafts leading to a final version these records can be destroyed.</p>
HCC 4.16	The process involved in the development and specification of a <b>contracts under seal</b>	Destroy <b>12</b> years after the terms of contract have expired	<ul style="list-style-type: none"> <li>• Final version of Tender specification</li> </ul> <p>Note: For project files containing drafts leading to a final version these records can be destroyed</p>
<b>Tender Issuing and Return</b>			
HCC 4.17	The process involved in the issuing and return of a tender	Destroy <b>6</b> year after the terms of contract have expired	<ul style="list-style-type: none"> <li>• Opening notice</li> <li>• Tender envelope</li> </ul>
<b>Tender Evaluation</b>			
HCC 4.18	Evaluation process and subsequent report for <b>ordinary</b> contracts (not under seal) or quotations	Destroy <b>6</b> years after the terms of contract have expired	<ul style="list-style-type: none"> <li>• Evaluation criteria</li> <li>• Evaluation recommendations</li> </ul>

# Legal and Contracts

Ref. No.	Function Description	Retention Action	Examples of Records
HCC 4.19	Evaluation process and subsequent report for contracts <b>under seal</b> or quotations	Destroy <b>12</b> years after the terms of contract have expired	<ul style="list-style-type: none"> <li>• Evaluation criteria</li> <li>• Evaluation recommendations</li> </ul>
HCC 4.20	Unsuccessful tender documents	Destroy <b>1</b> year after start of contract	<ul style="list-style-type: none"> <li>• Tender documents</li> <li>• Quotations</li> </ul>
HCC 4.21	<p><b>Successful contract award, management and monitoring</b></p> <p>The process in the</p> <ol style="list-style-type: none"> <li>1. Awarding</li> <li>2. Post tender negotiation</li> <li>3. Contract management</li> <li>4. contract monitoring</li> <li>5. contract amendments</li> </ol> <p>of <b>ordinary</b> contracts</p>	Destroy <b>6</b> years after the terms of contract have expired	<ul style="list-style-type: none"> <li>• Successful tender</li> <li>• Signed contract</li> <li>• Post tender negotiation</li> <li>• Contract management</li> <li>• Contract monitoring</li> <li>• Contract extensions</li> <li>• Service Level Agreements</li> <li>• Compliance reports</li> <li>• Performance reports</li> <li>• Minutes and papers of meetings</li> <li>• Changes to requirements</li> <li>• Variation forms</li> <li>• Complaints</li> <li>• Disputes on payment</li> <li>• Evidence of Insurance</li> </ul>
HCC 4.21A	<p><b>Contracts that include supervision of individual children</b></p> <p>Ordinary contracts that include the care and supervision of Children information in regards the process of;</p> <ol style="list-style-type: none"> <li>1. Awarding</li> <li>2. Post tender negotiation</li> <li>3. Contract management</li> <li>4. contract monitoring</li> <li>5. contract amendments</li> </ol>	Destroy <b>25</b> years after the terms of contract have expired	<ul style="list-style-type: none"> <li>• Evidence of insurance and their insures</li> <li>• Small Vehicle Contract Details</li> <li>• Taxi contracts for home to school transport</li> </ul>

# Legal and Contracts

Ref. No.	Function Description	Retention Action	Examples of Records
HCC 4.22	<p>The process in the</p> <ol style="list-style-type: none"><li>1. Awarding</li><li>2. Post tender negotiation</li><li>3. Contract management</li><li>4. contract monitoring</li><li>5. contract amendments</li></ol> <p>of Contracts Under Seal</p>	Destroy <b>12</b> years after the terms of contract have expired	<ul style="list-style-type: none"><li>• Successful tender</li><li>• Signed contract</li><li>• Post tender negotiation</li><li>• Contract management</li><li>• Contract monitoring</li><li>• Contract extensions</li><li>• Service Level Agreements</li><li>• Compliance reports</li><li>• Performance reports</li><li>• Minutes and papers of meetings</li><li>• Changes to requirements</li><li>• Variation forms</li><li>• Complaints</li><li>• Disputes on payment</li></ul>
HCC 4.23	<p><b>Tenancy Agreements</b></p> <p>The process of arranging the tenancies of Council's buildings or estates via a signed agreement</p>	Destroy <b>6</b> years after the terms of agreement have expired	<ul style="list-style-type: none"><li>• Signed tenancy agreements</li></ul>
HCC 4.24	<p>The process of arranging the tenancies of Council's buildings or estates under seal</p>	Destroy <b>12</b> years after the terms of agreement have expired	<ul style="list-style-type: none"><li>• Sealed tenancy agreements</li></ul>



# Statutory Services

General Disposal Guidelines for Local Authorities

Hertfordshire County Council

Ref. No.	Function Description	Retention Action	Examples of Records
	<b>Registrars of Births Deaths And Marriages Registration</b>		
HCC 5.1	Process of the summary registration of a birth, death or marriage	<b>Permanent.</b> Transfer to Place of Deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>• Deaths register</li> <li>• Births register</li> <li>• Marriage register</li> </ul>
HCC 5.2	Process of certification of the registration of a birth, death or marriage	Destroy <b>7</b> years from creation	<ul style="list-style-type: none"> <li>• Birth certificate</li> <li>• Death certificate</li> <li>• Marriage certificate</li> </ul>
	<b>Marriage Services</b>		
HCC 5.3	Process of conducting a marriage service	Destroy <b>4</b> years from creation	
HCC 5.4	Licensing of a site as a marriage venue	Destroy <b>6</b> years after creation	<ul style="list-style-type: none"> <li>• Marriage venue licence</li> <li>• Marriage venue register</li> </ul>
	<b>Notices</b>		
HCC 5.5	Process of notification in relation to marriage	Destroy <b>3</b> years from creation	<ul style="list-style-type: none"> <li>• Wedding banns</li> <li>• Notice of marriage</li> </ul>
	<b>Coroners</b>		
HCC 5.6	Summary registration of reported deaths	<b>Permanent.</b> Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>• Reported deaths register</li> </ul>
	<b>Coroner's case work</b>		
HCC 5.7	The process and actions of inquiring into deaths which <b>do not proceed</b> to an inquest.	Destroy <b>15</b> years from creation. Note can be sampled by Hertfordshire Archive and local Studies	<ul style="list-style-type: none"> <li>• Coroner's case files that <b>do not</b> proceed to inquest</li> </ul>
HCC 5.8	The process and actions of inquiring into deaths which proceed to an inquest	<b>Permanent. Offer to Archivist for review.</b> Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> <li>• Coroner's inquest files</li> </ul>
	<b>Treasure Trove</b>		
HCC 5.9	The process and actions of Treasure inquests	Destroy <b>2</b> years after last action	

Ref. No.	Function Description	Retention Action	Examples of Records
	<b>Personnel administration</b>		
HCC 6.1	<p>Core records of monitoring &amp; management of employees in summary form</p> <p><u>Note: The summary information that this record class attempts to capture is:-</u></p> <p>Name DOB Date of appointment Work history details Position/designation Titles &amp; dates held</p>	<p><b>Permanent</b></p> <p>On discontinuation of system , or on a regular basis, system core details of staff who have left the council needs to be transferred offline. Or Review 50 years from creation</p>	<ul style="list-style-type: none"> <li>• Employment Register – Permanent Staff</li> <li>• Employment Register – Temporary Staff</li> <li>• Employment Register – Casual Staff</li> <li>• Registers of personnel files</li> <li>• Personal History cards</li> <li>• Superannuation history card</li> <li>• Salary master record</li> </ul>
HCC 6.2	<p>The process of administering employees to ensure that entitlements &amp; obligations are in accordance with agreed employment requirements</p> <ul style="list-style-type: none"> <li>• Records containing superannuation information</li> </ul>	<p>Destroy 100 years from Date of Birth.</p>	<ul style="list-style-type: none"> <li>• Medical clearance</li> <li>• Letter of appointment</li> <li>• Letter of acceptance</li> <li>• Details of assigned duties</li> <li>• Probation reports</li> <li>• Medical examinations</li> <li>• Personal particulars</li> <li>• Educational qualifications</li> <li>• Declarations of pecuniary interests</li> <li>• Secrecy undertakings</li> <li>• Employment contracts</li> </ul>
HCC 6.3	<p>Records relating to staff working with children</p>	<p>Destroy <b>25</b> years from termination of employment</p>	<ul style="list-style-type: none"> <li>• Includes any volunteering with children or Young people</li> </ul>
HCC 6.4	<p>All other records</p>	<p>Destroy <b>6</b> years from termination of employment</p>	<ul style="list-style-type: none"> <li>• Includes volunteering <b>not</b> relating to children or young people</li> </ul>

# Human Resources

Ref. No.	Function Description	Retention Action	Examples of Records
<b>Employee and Industrial Relations</b>			
HCC 6.5	Identification & development of significant directions concerning industrial matters	Review <b>15</b> years after creation.	<ul style="list-style-type: none"><li>• Generic agreements and awards</li><li>• Negotiations</li><li>• Disputes</li><li>• Claims lodged</li></ul>
HCC 6.6	Liaison processes of minor and routine industrial matters	Destroy <b>2</b> years after administrative use is concluded	<ul style="list-style-type: none"><li>• Daily industrial relations management</li></ul>
HCC 6.7	Processing of disciplinary and grievances investigations where proved. <b>Note: Any disciplinary in regards safeguarding concerns are to be kept under HCC 6.2</b>	Destroy <b>14</b> Years from termination of employment	<ul style="list-style-type: none"><li>• Disciplinary</li><li>• Grievances</li></ul>
<b>Equal Employment Opportunities</b>			
HCC 6.9	The process of investigation and reporting on specific cases to ensure that entitlements & obligations are in accordance with agreed Equal Employment Opportunities guidelines policies	Destroy <b>7</b> years after creation	
<b>Occupational Health</b>			
HCC 6.10	The process of checking and ensuring the health of staff after they are working for the organisation	Destroy <b>75</b> years after DOB	<ul style="list-style-type: none"><li>• Medical clearance</li><li>• Adjustment to work place</li><li>• Restrictions</li><li>• Recommendations</li></ul>
HCC 6.10a	The process of checking a individual employee before they start work with the organisation	Destroy <b>15</b> years from creation	<ul style="list-style-type: none"><li>• Pre employment Questionnaire</li></ul>

# Human Resources

Ref. No.	Function Description	Retention Action	Examples of Records
<b>Recruitment</b>			
HCC 6.11	The selection of an individual for an established position	Destroy <b>1</b> year from creation (For letter of appointment for successful candidate use employment conditions)	<ul style="list-style-type: none"> <li>• Advertisements</li> <li>• Applications</li> <li>• Referee reports</li> <li>• Interview reports</li> <li>• Unsuccessful applicants</li> </ul>
<b>Staff Monitoring</b>			
HCC 6.12	Performance	Destroy <b>7</b> years after creation	<ul style="list-style-type: none"> <li>• Probation reports</li> <li>• Performance plans</li> <li>• Supervision notes</li> </ul>
HCC 6.13	Process of monitoring staff leave and attendance. Note Does not include parental leave	Destroy <b>7</b> years after end of absence period	<ul style="list-style-type: none"> <li>• Sick leave</li> <li>• Jury service</li> <li>• Study leave</li> <li>• Special and personal leave</li> <li>• Attendance books</li> <li>• Flexitime sheets</li> <li>• Leave applications</li> <li>• Clock on/off cards</li> <li>• Annual leave</li> </ul>
HCC6 .13A	Process of monitoring staff Parental leave	Destroy <b>18</b> years from birth of child	<ul style="list-style-type: none"> <li>• Parental Leave</li> <li>• Maternity Leave</li> </ul>
<b>Staff Retention</b>			
HCC 6.14	Financial reward  Note - All records relating to actual payments are dealt with under finance	Destroy <b>7</b> years from creation	
HCC 6.15	Other strategy	Destroy <b>3</b> years from creation	

# Human Resources

Ref. No.	Function Description	Retention Action	Examples of Records
<b>Termination</b>			
HCC 6.16	The process of termination of staff through voluntary redundancy, dismissal and retirement	Destroy <b>6</b> years after termination  If a pension is paid then records should be destroyed 100 years from DOB	<ul style="list-style-type: none"> <li>• Resignation</li> <li>• Redundancy (Section 188)</li> <li>• Dismissal</li> <li>• Death</li> <li>• Retirement</li> </ul>
<b>Training and Development</b>			
HCC 6.17	Routine staff training processes, not occupational health and safety or children related	Destroy <b>2</b> years after course run date	<ul style="list-style-type: none"> <li>• Course individual staff assessment</li> </ul>
HCC 6.18	Training (concerning children)	Destroy <b>35</b> years after course run date	<ul style="list-style-type: none"> <li>• Course individual staff assessment</li> <li>• training register</li> </ul>
HCC 6.19	Training (occupational health and safety training)	Destroy <b>50</b> years after course run date	<ul style="list-style-type: none"> <li>• OH&amp;S training register</li> </ul>
HCC 6.20	Training (materials)	Destroy <b>1</b> year after course is superseded	
HCC 6.21	Training (proof of completion)	Destroy <b>7</b> years after course run date	<ul style="list-style-type: none"> <li>• Certificates</li> <li>• Awards</li> <li>• Exam results</li> </ul>
<b>Appointments of Statutory Officers</b>			
HCC 6.22	The process of administering an individual to a statutory position, to ensure that entitlements & obligations are in accordance with agreed employment requirements Statutory officers	Archival review <b>6</b> years after termination.	<ul style="list-style-type: none"> <li>• Shrievalty</li> <li>• Magistrates</li> <li>• Lord Lieutenant</li> <li>• Tax commissioners</li> <li>• Coroners</li> </ul>

# Financial Management

General Disposal Guidelines for Local Authorities

Hertfordshire County Council

Ref. No.	Function Description	Retention Action	Examples of Records
<b>Accounts &amp; Audit</b>			
<b>Reporting</b>			
HCC 7.1	The process that consolidates financial transactions on an annual basis for corporate reporting purposes	Archival review <b>20</b> years from creation Transfer to Hertfordshire Archive and Local Studies.	<ul style="list-style-type: none"><li>• Consolidated annual reports</li><li>• Consolidated financial statements</li><li>• Statement of financial position</li><li>• Operating statements</li></ul>
HCC 7.2	The process that supports and consolidates financial transactions on a periodic (less than annual) basis, superseding those from the previous period. Does not include journals and subsidiary ledgers and cash books	Destroy <b>12</b> months after creation	<ul style="list-style-type: none"><li>• Consolidated monthly &amp; quarterly reports</li><li>• Consolidated monthly &amp; quarterly financial statements</li><li>• Working papers for the preparation of the above</li><li>• Monthly accrual statements</li><li>• Cashflow statements</li><li>• Creditor listings and reports</li><li>• Debtor listings and reports</li></ul>
<b>Financial Transactions Management</b>			
HCC 7.3	Management of the approvals process for purchase, including investigations	Destroy <b>7</b> years after creation	<ul style="list-style-type: none"><li>• Appointments &amp; delegations</li><li>• Audit investigations</li><li>• Arrangements for the provision of goods and/or services</li></ul>

# Financial Management

General Disposal Guidelines for Local Authorities

Hertfordshire County Council

Ref. No.	Function Description	Retention Action	Examples of Records
HCC 7.4	Identification of the receipt, expenditure and write offs of public monies	Destroy 7 years after creation	<ul style="list-style-type: none"> <li>• Allowances</li> <li>• Work orders</li> <li>• Invoices</li> <li>• Credit card statements</li> <li>• Cash books</li> <li>• Receipts</li> <li>• Cheque counterfoils</li> <li>• Bank statements</li> <li>• Subsidiary ledgers (annual)</li> <li>• Journals (annual)</li> <li>• Vouchers</li> </ul>
HCC 7.5	Process involving the provision and support for individuals using public transportation	Destroy 7 years after creation	<ul style="list-style-type: none"> <li>• Applications</li> <li>• Card issue</li> <li>• Rail warrants</li> </ul>
HCC 7.6	Processes that balance & reconcile financial accounts	Destroy 7 years after administrative use is concluded	<ul style="list-style-type: none"> <li>• Reconciliation</li> <li>• Summaries of accounts</li> </ul>
HCC 7.7	Taxation Records	Destroy 7 years from creation	<ul style="list-style-type: none"> <li>• Taxation records</li> <li>• Motor vehicle logs</li> <li>• Fringe benefits tax records</li> <li>• Group certificates</li> <li>• Income tax</li> </ul>
HCC 7.8	Processes involved in the collection of National Insurance Number	Destroy 2 years after the employee ceases employment	<ul style="list-style-type: none"> <li>• Notification &amp; input records</li> </ul>
HCC 7.9	<b>Payroll</b> <b>Accountable</b> processes relating to payment of employees	Destroy 7 years from creation	<ul style="list-style-type: none"> <li>• Authority sheets</li> <li>• Payroll deduction authorities</li> <li>• Payroll disbursement</li> <li>• Employee pay records</li> <li>• Employee taxation records</li> </ul>
HCC 7.10	<b>Non-accountable</b> processes relating to payment of employees	Destroy after administrative use is concluded	

# Financial Management

General Disposal Guidelines for Local Authorities

Hertfordshire County Council

Ref. No.	Function Description	Retention Action	Examples of Records
HCC 7.11	<b>Consolidated</b> listing of monthly individual pay records	Destroy <b>80</b> years from creation	<ul style="list-style-type: none"><li>• Consolidated excel spreadsheet of monthly pay records</li><li>• Template of letter.</li></ul>
<b>Financial Provisions</b>			
<b>Budgets And Estimates</b>			
HCC 7.12	The process of finalising local authorities' annual budget	Archival review <b>20</b> years from creation Transfer to Hertfordshire Archive and Local Studies.	<ul style="list-style-type: none"><li>• Annual budget</li></ul>
HCC 7.13	The process of developing local authorities' annual budget	Destroy <b>4</b> years from creation	<ul style="list-style-type: none"><li>• Draft budgets</li><li>• Departmental budgets</li><li>• Draft estimates</li></ul>
HCC 7.14	The process of reporting which examines the budget in relation to actual revenue and expenditure	Destroy after <b>2</b> years from creation	
<b>Loans</b>			
HCC 7.15	The activity of borrowing money to enable a local authority to perform its functions and exercise its powers	Destroy <b>7</b> years after the loan has been repaid	<ul style="list-style-type: none"><li>• Loan files</li></ul>
HCC 7.16	Summary management of loans	Archival review <b>20</b> years from creation Transfer to Hertfordshire Archive and Local Studies.	<ul style="list-style-type: none"><li>• Loans registers</li></ul>



# Financial Management

General Disposal Guidelines for Local Authorities

Hertfordshire County Council

Ref. No.	Function Description	Retention Action	Examples of Records
	<b>Assets Management</b>		
	See <b>Property Management</b> for real property assets. See <b>Transport Management</b> for vehicle assets.		
HCC 7.17	Summary management reporting on the overall assets of the local authorities	Archival review <b>20</b> years from creation Transfer to Hertfordshire Archive and Local Studies.	<ul style="list-style-type: none"><li>• Schedules of acquisitions</li><li>• Consolidated current asset reports</li><li>• Annual reports</li><li>• Summary of current assets</li><li>• Asset registers</li></ul>
	<b>Non Property Asset Monitoring and Maintenance</b>		
HCC 7.19	Management systems that allow the monitoring & management of assets in summary form	Destroy <b>7</b> years creation	<ul style="list-style-type: none"><li>• Subsidiary asset registers</li></ul>
HCC 7.20	Process of reporting and reviewing assets status	Destroy <b>2</b> years after creation	<ul style="list-style-type: none"><li>• Routine returns and reports on asset status</li><li>• Inventories</li><li>• Stocktaking</li><li>• Surveys of usage</li><li>• Acquisition and disposal reports &amp; proposals</li></ul>
HCC 7.21	The process of maintaining assets	Destroy <b>7</b> years after last action	<ul style="list-style-type: none"><li>• Garden maintenance</li><li>• Cleaning</li><li>• Painting</li></ul>
HCC 7.22	The process of maintaining plant and equipment	Destroy <b>7</b> years after sale or disposal of asset	<ul style="list-style-type: none"><li>• Service records</li><li>• Plant files</li></ul>
	<b>Asset Acquisition and Disposal</b>		
HCC 7.23	Management of the acquisition (by financial lease or purchase) and disposal (by sale or write off) process for assets	Destroy <b>7</b> years if under £50 000 or 12 years if over £50 000, from expiry of Lease	<ul style="list-style-type: none"><li>• Legal documents</li><li>• Particulars of sale documents</li><li>• Board of survey</li><li>• Leases</li><li>• Tender documents</li><li>• Conditions of contracts</li><li>• Certificates of approval</li></ul>

# Property and Land Management

General Disposal Guidelines for Local Authorities

Hertfordshire County Council

Ref. No.	Function Description	Retention Action	Examples of Records
	<b>Property and Land Management</b>		
HCC 8.1	Reports to management on overall property of the local authority	Archival review <b>20</b> years from creation Transfer to Hertfordshire Archive and Local Studies.	<ul style="list-style-type: none"><li>• Consolidated property &amp; buildings annual reports</li><li>• Summary of leased property</li><li>• Summary of local authority's owned property</li><li>• Site register</li><li>• Register of leases</li></ul>
	<b>Property Acquisition and Disposal</b>		
HCC 8.2	Management of the acquisition (by financial lease or purchase) process for real property (see also 21.1.0)	Retain for holding period of land or building plus <b>15</b> years. Offer material of major/significant properties to Hertfordshire Archive and Local Studies for <b>review</b>	<ul style="list-style-type: none"><li>• As built plans</li><li>• Deeds</li></ul>
HCC 8.3	Management of the disposal (by sale or write off) process for real property	Destroy <b>15</b> years after all obligations/entitlements are concluded. Offer material of major/significant properties to <b>Archivist for review</b>	<ul style="list-style-type: none"><li>• Legal documents relating to the sale</li><li>• Particulars of sale documents</li><li>• Board of Survey</li><li>• Tender documents</li><li>• Conditions of contracts</li></ul>
	<b>Property Development and Renovation</b>		
HCC 8.4	The process of managing and undertaking renovations and development of property		
HCC 8.5	Management <ul style="list-style-type: none"><li>• buildings and estates of "special interest"</li></ul>	Archival review <b>20</b> years from creation Transfer to Hertfordshire Archive and Local Studies.	<ul style="list-style-type: none"><li>• Project specifications</li><li>• Plans</li><li>• Installation manuals</li><li>• Certificates of approval</li></ul>

# Property and Land Management

General Disposal Guidelines for Local Authorities

Hertfordshire County Council

Ref. No.	Function Description	Retention Action	Examples of Records
HCC 8.6	Management <ul style="list-style-type: none"><li>all other buildings and estates</li></ul>	Retain for life of property or building	<ul style="list-style-type: none"><li>Project specifications</li><li>Plans</li><li>Installation manuals</li><li>Certificates of approval</li></ul>
HCC 8.7	The action process involved in the development and renovation of property	Destroy <b>15</b> years after creation	<ul style="list-style-type: none"><li>Work orders</li><li>Tender documents</li><li>Conditions of contracts</li></ul>
<b>Leasing and Occupancy</b>			
HCC 8.8	The process of managing leased property	Destroy <b>15</b> years after the expiry of the lease	<ul style="list-style-type: none"><li>Lease agreements</li><li>Rental expenditure authorities</li><li>Valuation queries</li><li>Applications for leases, licences &amp; rental revision</li></ul>
HCC 8.9	The process of managing the occupancy of property	Destroy <b>7</b> years after creation	<ul style="list-style-type: none"><li>Requests for works, cleaning, etc.</li></ul>
HCC 8.10	The process that manages any easements on real property of the Council.	<b>holding period of land</b> or building plus 40 years or transfer to new owners	
<b>Systems Management</b>			
HCC 8.11	The internal process to develop or extend the capabilities of a system used to support the activities of the local authority	Retain for life of system then destroy	
HCC 8.12	The process to implement a system used to support the activities of the local authority	Destroy <b>7</b> years from creation	<ul style="list-style-type: none"><li>Implementation plan</li></ul>
HCC 8.13	The process to support and administer a system used to support the activities of the local authority	Destroy <b>3</b> years after last action	

# Property and Land Management

General Disposal Guidelines for Local Authorities

Hertfordshire County Council

Ref. No.	Function Description	Retention Action	Examples of Records
<b>Transport Management</b>			
HCC 8.14	The process of acquisition and disposal of vehicles through lease or purchase	Destroy <b>7</b> years after the disposal of the vehicle	<ul style="list-style-type: none"><li>• Leases</li><li>• Contracts</li><li>• Quotes</li><li>• Approvals</li><li>• Fleet authorisation numbers</li></ul>
HCC 8.15	The process of managing allocation & maintenance of vehicles	Destroy <b>7</b> years after the sale or disposal of the vehicle	<ul style="list-style-type: none"><li>• Approvals as drivers</li><li>• Allocations &amp; authorisations for vehicles</li><li>• Maintenance</li></ul>
HCC 8.16	The process of recording vehicle usage	Destroy <b>3</b> years after the sale or disposal of the vehicle	<ul style="list-style-type: none"><li>• Vehicle usage reports</li></ul>
HCC 8.17	The process of recording drivers usage	Destroy <b>7</b> years after closure	<ul style="list-style-type: none"><li>• Vehicle log book</li></ul>
<b>Insurance Policy Management</b>			
HCC 8.18	The summary management of insurance arrangements	Archival review <b>20</b> years from creation Transfer to Hertfordshire Archive and Local Studies.	<ul style="list-style-type: none"><li>• Insurance register</li></ul>
HCC 8.19	The process of insuring local authority officers, property, vehicles and equipment against negligence, loss or damage	Destroy <b>75</b> years after the terms of the policy have expired	<ul style="list-style-type: none"><li>• Insurance policies</li><li>• Correspondence</li></ul>
HCC 8.20	The process of renewing insurance policies	Destroy <b>7</b> years from creation	<ul style="list-style-type: none"><li>• Insurance policy Renewal records</li><li>• Correspondence</li></ul>
<b>Claims Management</b>			
HCC 8.21	The process that records insurance claims against the local authority or local authority officers	Destroy <b>7</b> years after all obligations are concluded (allowing for the claimant to reach <b>25</b> years of age)	<ul style="list-style-type: none"><li>• Claims records</li><li>• Correspondence</li></ul>

# General Public Services

General Disposal Guidelines for Local Authorities

Hertfordshire County Council

Ref. No.	Function Description	Retention Action	Examples of Records
	<b>Health and Safety Inspections and Assessments</b>		
HCC 9.1	Process of inspecting and monitoring of equipment to ensure it is safe	Destroy <b>6</b> Years from destruction of the equipment	• Equipment inspection records
HCC 9.2	Processing the geo-technical assessments of a quarry	When quarry is no longer in use consult or refer to Health and Safety Executive (HSE)	
HCC 9.3	Process of carrying out monitoring to ensure that the process is safe	Destroy <b>3</b> Years from last action	• Monitoring results
HCC 9.4	Process of monitoring of areas where employees and persons are likely to have become in contact with <b>asbestos</b>	Destroy <b>100</b> Years from creation	• Property asbestos files
HCC 9.5	Process of monitoring of areas where employees and persons are likely to have come in contact with <b>radiation</b>	Destroy <b>50</b> Years from last action or at age <b>75</b> years whichever is the greater	• Radon monitoring
HCC 9.6	Process to ensure safe systems of work	Retain until superseded or process ceases + <b>1</b> year	
HCC 9.7	Process to assess the level of risk	Destroy <b>25</b> Years after risk is re assessed	• Risk assessment
HCC 9.8	Processes that permit work <b>Note</b> for asbestos permission to work use HCC9.4	Destroy <b>1</b> Year from last action	
HCC 9.9	Process that records injuries to adults or children	Destroy <b>100</b> Years from creation	• Accident books

# General Public Services

General Disposal Guidelines for Local Authorities

Hertfordshire County Council

Ref. No.	Function Description	Retention Action	Examples of Records
	<b>Emergency Planning</b>		
HCC 9.10	Process to develop the emergency/disaster plan for the local community	Review <b>10</b> years after plan superseded	<ul style="list-style-type: none"> <li>Major Incident Plan</li> </ul>
HCC 9.11	Process of recording the results of the test for emergency/disaster plan for the local community	Destroy <b>4</b> years after creation	
	<b>Major Incident</b>		
HCC 9.12	Activities that report on all major incidents in the local community, whether the emergency plan has been invoked or not	Archival review <b>20</b> years from creation Transfer to Hertfordshire Archive and Local Studies.	<ul style="list-style-type: none"> <li>Buncefield</li> </ul>
HCC 9.13	Activities that report on all minor incidents in the local community	Destroy <b>7</b> years after closure	
	<b>Enforcement and Certification and Prosecution Registration, Certification and Licensing</b>		
HCC 9.15	Summary management systems that allow the monitoring & management of registration, certification and licences registration requirements in summary form	Archival review <b>20</b> years from creation Transfer to Hertfordshire Archive and Local Studies.	<ul style="list-style-type: none"> <li>Visual impairment register</li> </ul>
HCC 9.16	The administration of applications, registration, certification and licences in relation to local authorities' registration requirements	Destroy <b>2</b> years after registration or entitlement lapses	<ul style="list-style-type: none"> <li>Applications for registration of a business premises</li> <li>Animal movement licences</li> <li>Fire Safety Order</li> <li>Registration to sell poison</li> <li>Premises Licences</li> <li>Food Registrations</li> </ul>

# General Public Services

General Disposal Guidelines for Local Authorities

Hertfordshire County Council

Ref. No.	Function Description	Retention Action	Examples of Records
HCC 9.17	The process involved in licensing sites for the holding or use of toxic or hazardous substances. (including petroleum, agricultural chemical products or herbicides)	Archival review <b>60</b> years from creation Transfer to Hertfordshire Archive and Local Studies.	<ul style="list-style-type: none"><li>• Diesel licences</li><li>• Petroleum certificate</li><li>• Health and safety licensing</li><li>• Hazardous substances</li><li>• Contaminated land register/pollution</li><li>• Explosive licences</li></ul>
HCC 9.18	<b>Notification</b> The process of issuing notices to citizens or businesses with respect to particular responsibilities	Destroy <b>2</b> years after the matter is concluded	<ul style="list-style-type: none"><li>• Fire Safety Notices</li><li>• Fire Safety Infringement notices</li><li>• Objections to notices</li><li>• Appeals against notices</li><li>• Registration of premises Infringement notices</li></ul>
HCC 9.20	<b>Investigation, Inspection and Monitoring</b> The process of investigation, monitoring or inspection laws in the responsibility of the local authority	Destroy 10 years from last Action.	<ul style="list-style-type: none"><li>• Trading standards sample and inspections records</li><li>• Risk Based Inspection Programme (RBIP)</li><li>• Primary Authority Enquiries</li><li>• Project Safety for Civil Cases</li></ul>
HCC9 .21	The process of storing intelligence on national database (IDB) in relation to trading standards legislation.	Review individual data elements every <b>6</b> years. If data is no longer relevant Destroy. If continued relevance keep for a further 6 years.	<ul style="list-style-type: none"><li>• IDB database</li></ul>
HCC9 .22	<b>Counter/Anti Fraud Activity</b> The process of collecting and use of information to detect fraud. Where prosecution action or debt collection takes place.	Destroy <b>7</b> years from closure	<ul style="list-style-type: none"><li>• SAFS Prosecution files</li><li>• SAFS Debt files</li></ul>

# General Public Services

General Disposal Guidelines for Local Authorities

Hertfordshire County Council

Ref. No.	Function Description	Retention Action	Examples of Records
HCC9.23	The process of collecting and use of information to detect fraud. Where no further action is taken	Destroy <b>2</b> years from closure	<ul style="list-style-type: none"><li>• SAFS no action files</li><li>• SAFS database</li></ul>
<b>Prosecution</b>			
HCC 9.24	The process of prosecution or sanction of an individual or organisation for failing to comply with their legal responsibilities	Destroy <b>10</b> years from last Action.	<ul style="list-style-type: none"><li>• Prosecution/sanction files</li></ul>
HCC 9.25	The process of authorising covert surveillance or property interference	Destroy <b>5</b> years from authorisation	<ul style="list-style-type: none"><li>• Ripa Application</li><li>• Supporting documents</li></ul>
<b>Waste Management Collection</b>			
HCC 9.22	The process of arranging the collection or transportation of controlled waste	Destroy <b>6</b> year after last action	
<b>Disposal of Waste</b>			
HCC 9.23	The summary management of sites used for the disposal of waste within the local authority	Archival review <b>60</b> years from creation Transfer to Hertfordshire Archive and Local Studies.	
HCC 9.24	The process of the short-term storage of household waste	Destroy <b>15</b> year from creation	<ul style="list-style-type: none"><li>• Transfer sites</li></ul>
HCC 9.25	The process of charging business to dispose of Waste	Destroy <b>7</b> years from creation	<ul style="list-style-type: none"><li>• Waste transfer</li></ul>
9.30	The process involved in managing the use, type and amount of waste to be disposed at a specific site	Archival review <b>60</b> years from creation Transfer to Hertfordshire Archive and Local Studies.	<ul style="list-style-type: none"><li>• Waste site plans</li></ul>



# Planning and Land Use

General Disposal Guidelines for Local Authorities

Hertfordshire County Council

Ref. No.	Function Description	Retention Action	Examples of Records
	<b>Planning Scheme Development and Amendment</b>		
HCC 10.1	The activity of developing a vision and strategic directions regarding existing and future land use within the Local Authority and the development of local and town centre plans to ensure the implementation of the Structure Plan	Archival review <b>40</b> years from creation Transfer to Hertfordshire Archive and Local Studies.	<ul style="list-style-type: none"> <li>• Structure Plan</li> <li>• Local Plan</li> <li>•</li> </ul>
HCC 10.2	The activity of consultation to gain approval for the Structure Plan (Unitary Development Plans) or Local Plans	Archival review <b>3</b> years from creation Transfer to Hertfordshire Archive and Local Studies.	<ul style="list-style-type: none"> <li>• Consultation documents and replies</li> <li>• Inquiries and objections made by members of public</li> <li>• Public Inquiry documents</li> </ul>
HCC 10.3	The activity of recording information on historical buildings, monuments and ecology at a specific site	Archival review <b>40</b> years from creation Transfer to Hertfordshire Archive and Local Studies.	<ul style="list-style-type: none"> <li>• Sites and Monuments records</li> <li>• Ecological records</li> <li>• Species records</li> <li>• Historically listed buildings</li> <li>• Definitive map</li> <li>• Commons registration</li> </ul>
HCC 10.4	The activity of establishing planning scheme controls and providing for them to be amended	Archival review <b>40</b> years from creation Transfer to Hertfordshire Archive and Local Studies.	<ul style="list-style-type: none"> <li>• Successful Waste Planning application</li> <li>• Successful Mineral Planning applications</li> <li>• Amendments to definitive map</li> <li>• Mineral Register</li> <li>• Applications for mineral extraction</li> <li>• Land Use surveys</li> </ul>

# Planning and Land Use

General Disposal Guidelines for Local Authorities

Hertfordshire County Council

Ref. No.	Function Description	Retention Action	Examples of Records
HCC 10.5	The process of receiving, considering and responding to submissions and objections to planning schemes and amendments	Destroy <b>15</b> years after decision. <b>Offer controversial/high profile schemes to Archivist</b>	<ul style="list-style-type: none"> <li>• Waste Planning application consultation</li> <li>• Mineral Planning applications consultation</li> <li>• Objections</li> <li>• Inquiries – Public etc</li> <li>• Archaeological: advice/conditions</li> </ul>
HCC 10.6	The process of controlling development of areas through applications for planning permission	Transfer planning application register to <b>Archivist</b> once the register has been completed (or at arranged intervals if it is held electronically)	<ul style="list-style-type: none"> <li>• Planning application files and plans</li> <li>• Correspondence relating to any objections</li> <li>• Hearing papers</li> <li>• Planning application register</li> </ul>
		Refer all other records to <b>Archivist</b> for sampling	
HCC 10.7	The process of maintaining the countryside and developing open spaces for public amenity	Refer all files relating to policy to the <b>Archivist</b>	<ul style="list-style-type: none"> <li>• Tree preservation orders</li> <li>• Country parks and nature reserves development plans and correspondence, land purchase agreements</li> </ul>
	<b>Planning Scheme Regulation</b>		
HCC 10.8	The summary management of planning scheme regulation	Archival review <b>40</b> years from creation Transfer to Hertfordshire Archive and Local Studies.	<ul style="list-style-type: none"> <li>• Building Control registers</li> </ul>
HCC 10.9	The process of regulating the planned use of land or buildings	Destroy <b>15</b> years after closure	

# Planning and Land Use

General Disposal Guidelines for Local Authorities

Hertfordshire County Council

Ref. No.	Function Description	Retention Action	Examples of Records
HCC 10.10	The process of approving building applications in relation to listed or other significant buildings	Archival review <b>40</b> years from creation Transfer to Hertfordshire Archive and Local Studies.	<ul style="list-style-type: none"><li>• Building files</li><li>• Plans</li><li>• Specifications</li><li>• Correspondence</li><li>• Applications</li><li>• Permits</li><li>• Certificates</li></ul>
HCC 10.11	The process of approving building applications, for all other buildings	Destroy <b>15</b> years after construction completed	<ul style="list-style-type: none"><li>• Building files</li><li>• Plans</li><li>• Specifications</li><li>• Correspondence</li><li>• Applications</li><li>• Permits</li><li>• Certificates</li><li>• Objections</li></ul>
HCC 10.12	The process of inspecting building work for the purpose of insuring compliance.	Destroy <b>10</b> years after the issue of a certificate of final inspection	<ul style="list-style-type: none"><li>• Certificate of final inspection</li><li>• Building Inspection records</li></ul>
HCC 10.13	The process of enforcing building or land regulations	Destroy <b>3</b> years after compliance with enforcement notice	<ul style="list-style-type: none"><li>• Diaries</li></ul>

# Infrastructure and Transport

General Disposal Guidelines for Local Authorities

Hertfordshire County Council

Ref. No.	Function Description	Retention Action	Examples of Records
	<b>Planning and Development</b>		
HCC 11.1	The activity of developing a vision and strategic directions regarding existing transport and infrastructure within the municipality	Archival review <b>40</b> years from creation Transfer to Hertfordshire Archive and Local Studies.	<ul style="list-style-type: none"> <li>• Structure Plan</li> <li>• Local transport plan</li> </ul>
HCC 11.2	The activity of recording location of highways, bridle paths and rights of way	Archival review <b>40</b> years from creation Transfer to Hertfordshire Archive and Local Studies.	<ul style="list-style-type: none"> <li>• Definitive map</li> <li>• Correspondence concerning enquiries and disputes</li> </ul>
HCC 11.3	The activity of establishing planning scheme controls and providing for them to be amended and modified	Archival review <b>40</b> years from creation Transfer to Hertfordshire Archive and Local Studies.	<ul style="list-style-type: none"> <li>• Amendments to definitive map</li> <li>• Road adoption</li> </ul>
HCC 11.4	The process of receiving, considering and responding to submissions and objections to planning schemes and amendments	Destroy <b>7</b> years after decision. <b>Offer controversial/high profile schemes to Archivist</b>	<ul style="list-style-type: none"> <li>• Enquiries, consultation documents, objections and correspondence</li> </ul>
HCC 11.5	The process of enforcing infrastructure and transport regulations	Destroy <b>50</b> years after enforcement notice. Destroy <b>3</b> years after compliance with enforcement notice.	
	<b>Traffic Management</b>		
HCC 11.6	The activity of planning, and programming the continued flow, diversion or reduction of traffic	Destroy <b>20</b> years from Date Creation	
11.6B	Traffic monitoring undertaken for projects requiring Public Consultations	Destroy <b>2</b> years from Creation	<ul style="list-style-type: none"> <li>• Intersection videos</li> <li>• ANPR (Automatic number plate recognition) for crossings</li> </ul>
11.6C	Traffic monitoring undertaken for projects not requiring public consultation.	Destroy <b>6</b> months after creation	<ul style="list-style-type: none"> <li>• Intersection videos</li> <li>• ANPR</li> </ul>

# Infrastructure and Transport

General Disposal Guidelines for Local Authorities

Hertfordshire County Council

Ref. No.	Function Description	Retention Action	Examples of Records
HCC 11.7	<b>Design and Construction</b> The activity of planning, designing, programming and constructing roads, streets, bridges, and tunnels	Destroy <b>35</b> years after creation. Then offer to Archivist for review	
HCC 11.8	<b>Infrastructure Management and Maintenance</b> The activity of providing municipal services in relation to infrastructure within the local authority	Destroy <b>7</b> years after creation	<ul style="list-style-type: none"><li>• Street files</li><li>• Street records</li></ul> Requests for: <ul style="list-style-type: none"><li>• Hedge clipping</li><li>• Numbering</li><li>• load limits</li><li>• Street signs</li><li>• Bus shelters</li><li>• Applications to dig up pavements</li><li>• HGV application</li><li>• Advice / comment</li><li>• Level crossings</li><li>• Right of ways</li><li>• Roundabouts</li><li>• Traffic calming measures</li><li>• Street lighting</li></ul>
<b>Road Maintenance</b>			
HCC 11.9	The activity of maintaining and repairing roads, streets, bridges, bridle paths, rights of way and tunnels	Destroy <b>16</b> years after creation	
HCC 11.11	<b>Public Transport</b> The activities involved in the management and provision of public transport	Destroy <b>7</b> years after creation.	<ul style="list-style-type: none"><li>• Timetables and routes</li><li>• Maps</li><li>• Fares</li><li>• Customer and industry liaison</li><li>• Concessionary travel</li></ul>

# Infrastructure and Transport

General Disposal Guidelines for Local Authorities

Hertfordshire County Council

Ref. No.	Function Description	Retention Action	Examples of Records
	<b>Cleric database</b> System currently in use by the passengers transport team	Note disposal will take place on a yearly basis	
HCC 11.12 A	Information in regards passenger journeys. Includes Date, time, location, price of journey	Destroy <b>8</b> years from start date	
HCC 11.12 B	Passenger Details	Destroy <b>2</b> years after last start date. Note use the latest start date if multiple services.	
HCC 11.13 A	<b>HAPS Database</b> Taxi Journey report - On a yearly basis a report will be run all journeys via taxi where has been transferred by taxi. This will include at a minimum; <ul style="list-style-type: none"><li>• Passenger Name</li><li>• Passenger DOB</li><li>• Passenger ID</li><li>• Journey date range</li><li>• Taxi company name</li><li>• Contract reference</li></ul>	Report will be in electronic format and stored in the HCC record management system. Destroy <b>35</b> years from date of the report	
HCC 11.13 B	Process on checking suitability of Passenger Assistants and Drivers in looking after Children.	Destroy <b>25</b> years from creation of report	<ul style="list-style-type: none"><li>• TED records</li><li>• DBS checks</li></ul>
HCC 11.13 C	Process in ticketing and carrying out passenger journeys. Includes; Date, time, location, price of journey	Destroy <b>8</b> years from creation	<ul style="list-style-type: none"><li>• Bus tickets</li><li>• Savercards</li></ul>

## Driver training courses

# Infrastructure and Transport

General Disposal Guidelines for Local Authorities

Hertfordshire County Council

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<b>Ref. No.</b>	<b>Function Description</b>	<b>Retention Action</b>	<b>Examples of Records</b>
HCC 11.14	The process of booking members of the public onto driver training courses. Note this area is carried out under contract to Hertfordshire Constabulary	Destroy 3 months from course completion date	

# Public Health

General Disposal Guidelines for Local Authorities

Hertfordshire County Council

Ref No.	Function Description	Retention action	Examples of records
	<b>Public health</b> See also ; HCC2.1 for <ul style="list-style-type: none"><li>• Public Health report</li></ul> HCC 1.6 for; <ul style="list-style-type: none"><li>• Public Health Board</li><li>• Health and well being board</li></ul>		
HCC 12.1	Process in setting up programmes to support public health	Destroy <b>10</b> Years from creation	
HCC 12.2	Advice and guidance on public health	Destroy <b>15</b> years from creation	
HCC 12.3	Process in organising and carrying out Sexual health testing	Adults - Destroy <b>10</b> years from creation Children - Destroy <b>15</b> Years from creation	<ul style="list-style-type: none"><li>• Chlamydia test records</li></ul>
HCC 12.4	Process in carrying out programmes for smoking cessation	Destroy <b>6</b> years from creation	
HCC 12.6	Process of carrying out health check assessments	Destroy <b>7</b> years from creation.	
HCC 12.7	Process in organising the collection of data for public health	Destroy <b>6</b> years from creation.	



