



WATFORD
BOROUGH
COUNCIL

Document Retention Policy

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1. **Introduction**

- 1.1 Information is one of the Council's key corporate assets; in the course of carrying out its many functions, Watford Borough Council (WBC) accumulates information from both individuals and external organisations. WBC also generates a wide range of data, which is recorded in a variety of ways.
- 1.2 These documents and records are in many different formats, examples of which include, but are not limited to communications such as letters, emails, reports, notes and minutes; financial information including invoices, statements, receipts and remittance notes; legal documents such as contracts and deeds; and information relating to various types of applications, including forms, plans, drawings and photographs. Information may also be held in the form of audio and video recordings.
- 1.3 For the purposes of this Policy, the terms 'document' and 'records' are defined widely in Appendix 1.
- 1.4 In certain circumstances it is necessary to retain specific documents in order to fulfil statutory or regulatory requirements and also to meet operational needs. Document retention may also be useful to evidence events or agreements in the case of disputes, and also to preserve information which has historic value.
- 1.5 Inappropriate management of documents could result in inability to defend claims, operational difficulties and failure to comply with the Code of Transparency in Local Government, the Freedom of Information Act 2000, the General GDPR Regulation (GDPR) and other similar legislation regarding management of information.
- 1.6 Equally, the retention of all documents and records is impractical. Appropriate management and disposal of documents is essential. Disposal will assist WBC to maintain sufficient electronic and office storage space and will de-clutter office accommodation, resulting in a more effective working environment. Lengthy or indefinite retention of personal information for example, could place WBC at risk of breaching the GDPR.
- 1.7 It is important for these reasons that WBC has management systems in place for the timely publication of information and the timely, secure disposal of documents, information and records that are no longer needed.

2. Aims and Objectives

- 2.1 The key objective of this policy is to provide WBC with a simple framework which is compatible with information management legislation and guidance and will enable effective management and decisions on whether a particular document should be published, retained or disposed of. In the case of documents which are to be retained by WBC, the policy includes guidance on effective management of documents, the format in which they should be retained and information on appropriate retention periods.
- 2.2 Implementation of the policy will save WBC officers' time when retrieving information, in particular by making it easier to comply with all information management legislation and reducing the amount of information that may be held unnecessarily. Additionally, the policy should help to ensure that the Council archives records and documents that are of historical value appropriately for the benefit of future generations.

3. Scope

- 3.1 This Document Retention Policy applies to all information held by the Council and its external service providers where they are holding, managing and processing information on the Council's behalf.

4. The Council's Policy Statement

- 4.1 WBC will ensure that information legislation is complied with, documents and information are not kept longer than is necessary and it appropriately retains the information that it needs to carry out its statutory functions, openness and transparency obligations and the provision of services.

5. Retention and Disposal Policy

- 5.1 Decisions on the retention, publication and disposal of documentation and information should be taken in accordance with this policy, in particular:
- Appendix 1 – Documents: List of possible records formats media.
 - Appendix 2 – Document Management Considerations: a checklist to be followed where the management of any document and information is being considered.
 - Appendix 3 – Document Retention Schedules: Comprehensive guidance on the recommended and statutory minimum retention periods for specific types of documents and records.
- 5.2 In circumstances where a retention period of a specific document has expired, a review should always be carried out prior to a decision being made to dispose of it.

This review should not be particularly time consuming and should be straightforward. If the decision to dispose of a document is taken, then consideration should be given to the method of disposal to be used.

6. Roles and Responsibilities

- 6.1 Heads of Service or in their absence, managers within service areas (collectively all known as “**Managers**”), are responsible for document management and determining in compliance with this policy whether to publish, retain or dispose of specific documents within the remit of their service area.
- 6.2 Managers may delegate the operational aspect of this function within their service area, but ownership and responsibility for document management rests with them.
- 6.3 Managers should seek legal advice if they are uncertain as to whether minimum retention periods are prescribed by law, or whether the retention of a document is necessary to protect the Council’s position where a claim has been identified.
- 6.4 No single person or team possesses the corporate operational knowledge required to assess whether a particular document may be required in any or every service area for operational need. Consequently, such matters are the responsibility of Managers for the service area(s) they are managing.
- 6.5 Managers should ensure that the Schedule in Appendix 3 which is relevant to their service(s) is / are kept up to date.

7. Disposal

- 7.1 Confidential waste documents should be made available for collection by use of the confidential waste bins which are located around the offices in order that they can be destroyed. It is essential that any documents which are to be thrown away, and contain confidential or personal data must be disposed of in this way, in order to avoid breaches of confidence or breaches of the GDPR.
- 7.2 Disposal of documents other than those containing confidential or personal data may be disposed of by binning, recycling, deletion (in the case of electronic documents by means such as deletion, magnetic wiping and physical pulverisation), and the transfer of documents to external bodies. Transfer of documents to external bodies

will be unusual but likely be relevant where documents are of historic interest and may therefore be sent to the county archivist or a museum.

- 7.3 Records of disposal are to be maintained by each department, and detail the document(s) disposed of, the date and who authorised the document's disposal.

Appendix 1 Documents – List of Possible Records Formats and Media

This is a non-exhaustive list of possible document and other formats that may be records. It does not include every possible format. Some formats may be specific to a particular type of media e.g. web sites on digital media; while others may be found in more than one medium e.g. letters and reports may be on paper and/or digital media.

- Correspondence/letters
- Training materials
- Meetings agendas, minutes/notes, supporting papers
- Reports
- Presentations (text, slides, charts, illustrations, etc.)
- Directives and policy statements
- Manuals and instructions
- Forms
- Books of account (or equivalent)
- Financial transactional documents eg invoices, statements.
- Legal documents e.g. agreements/contracts, deeds
- Press releases
- Internal announcements
- Intranet sites
- Technical drawings (including CAD)
- Equipment monitoring/recording records
- Photographs, slides, transparencies and digital images
- Publications e.g. books, brochures, leaflets
- Posters
- Advertisements
- TV & radio commercials
- Film, video and sound recordings
- Microfilm and microfiche
- Memoranda
- E-mails
- Text and MMS messages
- Instant messages
- Voicemails
- Word processing, graphics and spreadsheet applications
- Specialist business IT applications
- Databases
- Data warehouses
- Websites
- Blogs
- Fixed or removable electronic or optical storage media including:
 - Desktop and laptop computers
 - CD-ROMs, DVDs and optical disks
 - Magnetic tape and disks
 - Miniaturised high density electronic storage devices e.g. memory sticks
 - Data held on PDAs (portable digital assistants) and Smart phones

Appendix 2 - Disposal and Retention Considerations

Each of the following questions and guidance underneath them should be considered prior to the disposal of any document.

Has the document been appraised?

Check that the nature and contents of the document is suitable for disposal.

Is retention required to fulfil statutory obligations or other regulatory obligations?

Specific legislation setting out mandatory retention periods for documentation held by local government is very limited, but includes the following:-

- Tax legislation – minimum retention periods for certain financial information is stipulated by the VAT Act 1994 and the Taxes Management Act 1970.
- Statutory registers – Various local government statutes requires registers to be kept for a variety of functions.
- Local Accountability and Audit Act 2014 – subject to protection of legal privilege, provides auditors with a right of access to every document relating to the Council that appears necessary for the purposes of carrying out the auditor's function under the Act.
- The Local Government Act 1972, Part VA – governs public access to certain documents relating to Council and Committee meetings.

Is retention required for evidence?

Keep any documents which may be required for legal proceedings until the threat of proceedings has passed.

The limitation period for commencing litigation should also be a key consideration. This is governed by the Limitation Act 1980 and the main time limits that apply directly to local government are:-

- Contract or tort (such as negligence or nuisance) claims (other than personal injury) cannot be brought after six years from the date on which the cause of the action occurred.
- Personal injury claims cannot be brought after three years from the date on which the cause of action occurred.
- Claims based on provisions contained in documents that are 'under seal' cannot be brought after twelve years from the date on which the cause of action occurred.

Is retention required to meet the operational needs of the service?

Consider whether the document in question may be useful for future reference, as a precedent or for performance management purposes

Is retention required because the document or record is of historic interest or intrinsic value?

In most cases this consideration will not be relevant.

If a particular document has historic or financial value, consideration should be given to whether it should be retained by the Council, or alternatively by an external body, such as the County Archivist.

The transfer, long term retention or disposal of such documents must be authorised by the relevant Manager.

Appendix 3 - Document Retention Schedules

1. Introduction

The following schedules provide guidance on the retention periods applicable to a wide range of the Council's documents.

2. Explanation of Retention Schedule Headings

There is a Document Retention Schedule for each service. The headings in each Schedule are as follows:

- **Reference Number** – This section provides ease of reference.
- **Function** – This provides high-level description of the service.
- **Function Description** – This provides notes that define each function in terms of related activities.
- **Examples of Records** – This section provides common examples of the type of records included within the particular function. This list is not exhaustive.
- **Retention Action** – This entry provides the guidance as to whether the document should be retained, and if so how long for. It also provides guidance regarding the method by which documents should eventually be disposed of.
- **Notes** – This indicates if the retention action is common practice or statutory.

3. Glossary of Terms

- **Archiving** – The method of archiving selected for a particular document will vary between services and will depend on the type and format of documents. Staff should refer to their Managers for guidance on where documents should be archived if they are unsure. Archiving may include, but will not be limited to electronic storage on records management systems, storage in secure filing cabinets, strong rooms or other designated areas within the Council offices, and in some limited cases sending documents to external bodies such as the Local Archives or museums.
- **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 GDPR and the Freedom of Information 2000.
- **Common Practice** – Standard practice followed by those local authority records managers who are members of the Records Management Society.
- **Last Action** – 'Destroy 'x' years after last action.' Date of most recent amendment/addition/deletion of information.
- **Permanent** – Records which must be kept indefinitely for legal and/or administrative purposes, and/or are of enduring value for historical research purposes and so suitable for transfer to the Council's archive or place of deposit.

1.0 Customer Service Section

Ref	Function	Function Description	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
1.1	Case Management	Details of enquiries directed to Council logged through the councils customer management system	CMS case details	Destroy or anonymise after 6 years	Customer Services Section		Cases are held within Jadu. Data retention can be set within the customer Management system on the basis of enquiry type.
		Details of general enquiries directed to Council received via email, letter, Fax	Email Written Correspondence	Destroy within 6 months of the enquiry being resolved or logged onto another council system	Customer Services Section		
1.2	Complaints	Complaints received and Council responses on council actions, policy or procedures logged through the councils customer	<ul style="list-style-type: none"> • Correspondence • Ombudsman • Reports • Registers 	Destroy 6 years after complaint has been closed	Customer Services Section		Cases are held within Customer Management System

Ref	Function	Function Description	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
		management system					
1.3	Call Recordings	Call recordings from call centre call recording system	WAV audio files	Destroy after 6 months	Customer Services Section		Recordings are held within MacFarlane ACD system
1.4	FOI and Data Access requests	FOI requests	<ul style="list-style-type: none"> • Correspondence • Ombudsman • Reports • Registers 	Destroy after 6 years	Customer Services Section		Cases are held within Customer Management System
		Data Access Requests	<ul style="list-style-type: none"> • Correspondence • Ombudsman • Reports 	Destroy after 6 years	Customer Services Section		Cases are held in electronic file
1.5	Staff Monitoring	Staff performance/monitoring/1-1 records	<ul style="list-style-type: none"> • Notes • Performance meeting notes • Call/Face to face monitoring templates • Agent specific GovMetric data 	Destroy 5 years after action completed	Customer Services Section		
1.6	Website Data	Website eforms	<ul style="list-style-type: none"> • Website forms within the CMS 	As per individual eform data retention	Customer Services Section		Retention rules are set with agreement

Ref	Function	Function Description	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
							by services within the content management system during the form development.
1.7	Street Naming and Numbering	Street Naming and Numbering approval notices	<ul style="list-style-type: none"> Approval Notices Site plans 	Retain forever	Customer Services Section		Notices are held in electronic file Historic notices are held in manual files stored in the archive
1.8		Street Naming and Numbering applications	<ul style="list-style-type: none"> Electronic and manual Application forms Street naming and numbering application spreadsheet SN&N mailbox emails 	Destroy after 5 years			Notices are held in electronic file Historic applications are held in manual files stored in the archive

2.0 Community and Environmental Services

Ref	Function	Function Description	Examples of Records	UNIFORM reference (if applicable)	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
2.1	COMPLIANCE	CCTV	CCTV collected but not used as part of an investigation in evidence		Destroy as soon as not needed	Community and Environmental Services	Email	Potentially highly intrusive. Disproportionate to retain if not relevant or needed.
		Community Protection Notice	Initial letters, warnings and Notices		Retain for 7 years from last action	Community and Environmental Services	DVD	Limitation Act 1980
		Council Tax Search	Response to Council Tax search from any authority		Retain for 7 years from last action	Community and Environmental Services	Paper Files	
		Criminal Behaviour Order	Documents used in the support or application for a Criminal Behaviour		Retain for 7 years from last action	Community and Environmental Services	Uniform Record	Limitation Act 1980

Ref	Function	Function Description	Examples of Records	UNIFORM reference (if applicable)	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
			Order					
		Data request	Request made under s.29(3) DPA 1998 for information to assist in prevention or detection of crime	DPAREQ	Retain for 7 years from last action	Community and Environmental Services	Email	
		Diary Sheets	Collected and used in evidence as part of noise nuisance investigation under section 34? Environmental Protection Act 1990		Retain for 7 years from last action	Community and Environmental Services	Paper Files	Limitation Act 1980
		Fixed Penalty Notices	Copies of fixed penalties issued.		Retain for 7 years from last action	Community and Environmental Services	Uniform Record	
		Fixed Penalty Notice Appeal	Appeal against the issue of any fixed penalty notice issued by Watford Borough Council	FPNAPP	Retain for 7 years from last action	Community and Environmental Services	Email	Limitation Act 1980
		CCTV	Letters sent concerning payment		Retain for 7 years from last action	Community and Environmental	Paper Files	

Ref	Function	Function Description	Examples of Records	UNIFORM reference (if applicable)	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
						Services		
		Community Protection Notice	Formal Notice issued		Retain for 7 years from last action	Community and Environmental Services	Uniform Record	Limitation Act 1980
		Conviction Data	Outcome of criminal investigation, including conviction data		Retain for 7 years from last action	Community and Environmental Services	Electronic	Password Protected Conviction Register
		Council Tax Search	Response to formal request made under relevant information sharing agreement		Destroy as soon as not needed	Community and Environmental Services	Email	
		Criminal Behaviour Order	Response to land registry search used in evidence		Destroy as soon as not needed	Community and Environmental Services	Paper Files	Limitation Act 1980
		Data request	Notice served under section 80) Environment Act 1990		Retain for 7 years from last action	Community and Environmental Services	Uniform Record	
		Diary Sheets	Any evidence collected as part of an investigation not used in		Retain for 7 years from last action	Community and Environmental Services	Email	Limitation Act 1980

Ref	Function	Function Description	Examples of Records	UNIFORM reference (if applicable)	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
			evidence					
		Fixed Penalty Notices	Response to PNC check			Community and Environmental Services	Paper Files	
		Information Sharing	Prosecution of offences in Magistrates/Crown Court and subsequent matters arising in other courts of law		Retain for 6 years from last action	Community and Environmental Services	Uniform Record	Limitation Act 1980
		Land Registry Search	Simple Caution issued in accordance with EH&L Compliance Policy			Community and Environmental Services	Email	
		Statutory Nuisance Notice	Letters sent as first notification of allegation, formal warning or advice note		Retain for 7 years from last action	Community and Environmental Services	Paper Files	Limitation Act 1980
		Physical Evidence collected	CCTV collected but not used as part of an investigation in evidence		Destroy as soon as not needed	Community and Environmental Services	Uniform Record	
		Police National Computer	Initial letters, warnings and Notices	DPAREQ	Retain for 7 years from last action	Community and Environmental	Email	Limitation Act 1980

Ref	Function	Function Description	Examples of Records	UNIFORM reference (if applicable)	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
		Check				Services		
		Prosecution file	Response to Council Tax search from any authority		Retain for 7 years from last action	Community and Environmental Services	Paper Files	
		Simple Caution	Documents used in the support or application for a Criminal Behaviour Order		Retain for 7 years from last action	Community and Environmental Services	Uniform Record	Limitation Act 1980
		Warning letters	Request made under s.29(3) DPA 1998 for information to assist in prevention or detection of crime	FPNAPP	Retain for 7 years from last action	Community and Environmental Services	Email	
2.2	BUSINESS	Commercial Pest Control	Commercial Food Hygiene Contract	CMGLI3, CMGLIS, CMHGCO, CMHGEN, CMHSCO, CMHSEN, CMINS3, CMINSE,	Destroy 7 years after last required		Paper Files	Limitation Act 1980 Limitation Act 1980

Ref	Function	Function Description	Examples of Records	UNIFORM reference (if applicable)	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
				CMMIC3, CMMICE, CMOTHR, CMPCCO, CMPCEN, CMRAT3, CMRATS, CMSQU3, CMSQUI, CMWAS3, CMWASP, CMWSA3, CMWSAD				Limitation Act 1980 Limitation Act 1980 Limitation Act 1980
		Commercial Environmental Protection	Commercial Licensing Consultancy Contract	CMEPCO, CMEPEN	Destroy 7 years after last required		Uniform Record	
		Commercial Food Hygiene Contract	Complaint regarding commercial services	CMFHCO, CMFHEN	Destroy 7 years after last required		Email	
		Commercial Licensing Consultancy		CMLICO, CMLIEN	Destroy 7 years after last required		Paper Files	

Ref	Function	Function Description	Examples of Records	UNIFORM reference (if applicable)	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
		Contract Complaint		XCGEN	Destroy 7 years after last required		Uniform Record	
2.3	LICENSING	Personal License	Application and/or grant for personal licence to sell alcohol	LAPER	Destroy – 2 year after surrender or lapse or 7 years after revocation of licence	Paper Files Uniform Record Email		Revocation may be challenged, Limitation Act 1980
		Temporary Event Notice	Application and/or grant for temporary licence under Licensing Act 2003	TENNOT, TENPER	Destroy – 2 year after surrender or lapse	Paper Files Uniform Record Email		
		Temporary Event Notice Decision Notices	Notice sent to applicant following decision to grant or not grant		Destroy – 2 year after surrender or lapse	Paper Files Uniform Record Email		
		Premises Licence/Club	Application and/or grant for a premises or club	LAPRE, PRE	Destroy – 3 year after surrender or	Paper Files		Revocation may be

Ref	Function	Function Description	Examples of Records	UNIFORM reference (if applicable)	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
		Premises Certificate	licence under the Licensing Act 2003		lapse or 7 years after revocation of licence	Uniform Record Email		challenged, Limitation Act 1980
		DUAL driver application/ Private Hire driver	Application and/or grant for hackney carriage or private hire licence under Local Government (Miscellaneous Provisions) Act 1976	DUAL/PHDL	Destroy – 6 years after surrender or lapse or 10 years after revocation of licence	Paper Files Uniform Record Email		Record of previous history relevant to test of fitness and propriety. Role exempt from Rehabilitation of Offenders Act 1974
		Knowledge Test/Driver Training Day	Booking made to attend knowledge test/driver training day/disability	KTESTH/KTES TP	Destroy – 3 years from failed attempt/successful attempt not leading to	Uniform Email		Record of previous attempts may assist

Ref	Function	Function Description	Examples of Records	UNIFORM reference (if applicable)	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
			equality training.		application Destroy immediately after record of result made			if determination of fitness to hold a licence.
		Hackney Carriage/Private Hire vehicle	Application and/or grant for vehicle licence under Local Government (Miscellaneous Provisions) act 1976	HCVLA/PHVL A	Destroy – 6 years after surrender or lapse or 10 years after revocation of licence	Paper Files Uniform Record Email		Record of previous history relevant to test of fitness and propriety.
		Hackney Carriage and Private Hire driver application	Notification National anti-Fraud Network (NAFN) of revocation or refusal of licence	N/A	Retain for 25 years		Electronic	In accordance with NR3 guidance notes issued by LGA
		Charity Collection	Application and/or grant for collection permit under	STCOLL	Destroy – 3 year after surrender or	Paper Files		

Ref	Function	Function Description	Examples of Records	UNIFORM reference (if applicable)	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
			Police, Factories etc (Miscellaneous) Act 1916		lapse	Uniform Record Email		
		House to House Collection	Application and/or grant for collection made under House to house Collections Act 1939	HOUSE	Destroy – 3 year after surrender or lapse	Paper Files Uniform Record Email		
		Free Printed Matter Distribution	Application and/or grant to distribute printed matter made under Clean Neighbourhoods and Environment Act 2005	LEAF	Destroy – 3 year after surrender or lapse	Paper Files Uniform Record Email		
		Scrap Metal Dealer	Application and/or grant for yard or collection licence made under Scrap Metal Dealers Act 2014	SMDC, SMDS	Destroy – 3 year after surrender or lapse	Paper Files Uniform Record Email		
		Gambling licence	Application and/or grant for premise licence made under Gambling Act 2005	AGC, BET, BINGO, FEC, FEC2, GAINPT, CGP, CGMP,	3 year after surrender or lapse or 7 years after revocation of licence	Paper Files Uniform Record Email		Revocation may be challenged, Limitation Act 1980

Ref	Function	Function Description	Examples of Records	UNIFORM reference (if applicable)	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
				TRACK				
		Sex establishment licence	Application and/or grant made under Local Government (Miscellaneous Provisions) act 1976	SEL, SEV	Destroy – 3 year after surrender or lapse or 7 years after revocation	Paper Files Uniform Record Email		Revocation may be challenged, Limitation Act 1980
		Lottery Registrations	Application and/or grant to provide a lottery made under Gambling Act 2005	LOTTER, LPROV	Destroy – 3 year after surrender or lapse	Paper Files Uniform Record Email		
		Pavement licence application	Application and/or grant made to WBC	TABLE	Destroy – 3 year after surrender or lapse	Paper Files Uniform Record Email		
		Street Trading	Application and/or grant for street trading consent made under Schedule 4 Local Government (Miscellaneous Provisions)	STRAD, NONCOM, TCTRAD	Destroy – 3 year after surrender or lapse or 7 years after revocation	Paper Files Uniform Record Email		No appeal against revocation but decision

Ref	Function	Function Description	Examples of Records	UNIFORM reference (if applicable)	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
			Act 1982					still subject to Judicial Review
		Lost Property report	Reported to licensing team and logged in lost property system	PLOST	Destroy – 3 year after report filed	Paper Files Uniform Record Email		
		Private Hire Operator Licence	Application and/or grant made under Local Government (Miscellaneous Provisions) Act 1976	PHOP	Destroy – 6 years after surrender or lapse or 10 years are revocation	Paper Files Uniform Record Email		Record of previous history relevant to test of fitness and propriety.
		Premises licence variation	Any variation of licence including full variation, minor variation, change of designated premises supervisor, change of premises licence holder	LAPRED, LAPREV, LAPREMV, LAPRET, LAPREZ, LAPRER	Destroy – 3 year after surrender or lapse	Paper Files Uniform Record Email		Record of previous history relevant to test of fitness and propriety.

Ref	Function	Function Description	Examples of Records	UNIFORM reference (if applicable)	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
2.4	ENVIRONMENT	Abandoned Vehicles	Vehicles reported abandoned on the public highway or private land	ABANV	Destroy – 3 years from last action			
		Accidents	Accidents reported under The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR) .	MAJOR, DANG, OVER3, PUBLIC, OVER7, DISEAS, NONREP, FATAL, GASINC, GASFIT	Destroy – 3 years from last action			
		Air Quality	Air Quality Standards Regulations 2010. 2008 Ambient Air Quality Directive (2008/50/EC) AQM – Air Quality concerns/advice/informati	AQM		Destroy – 3 years from last action		

Ref	Function	Function Description	Examples of Records	UNIFORM reference (if applicable)	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
			on					
		Air Pollution	Part IV Environment Act 1995	APBON, APCI, APDOM, APDUST, APTRAF, APIND, APCOM		Destroy – 3 years from last action		
		Air Pollution Monitoring	Part IV Environment Act 1995	ENAPM (not active code)	Destroy – 3 years from last action			
		Animal Boarding	Animal Boarding Establishments Act 1963	ABOARD	Destroy – 3 years from last action Keep any records where Order issued until Order revoked.			
		Animal Welfare	The Animal Welfare Act 2006 Various animal related	AWENQ, AWANB, AWDANG, AWDFOU, AWDGBN, AWAODA,	Destroy – 3 years from last action			

Ref	Function	Function Description	Examples of Records	UNIFORM reference (if applicable)	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
			enquiries	AWOTH				
		Approval of Food Manufacturers	Regulation (EC) No 853/2004	FOOD2	Destroy – 5 years from last action OR keep records of last three inspections		Paper Files Uniform Record Email	Need to keep for 5 years: whilst 3 years is widest intervention frequency, as these premises are lowest risk sometimes we don't get to them according to the 3 year frequency. Also, inspection history is

Ref	Function	Function Description	Examples of Records	UNIFORM reference (if applicable)	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
								part of the decision making process when deciding what enforcement action to take, so the last three need to be kept
		Food Export Certificates	N/A	FHEXPT			Paper Files Uniform Record Email	
		Bottles and Containers		BOTCON	Destroy – 3 years from last action		Paper Files Uniform Record Email	

Ref	Function	Function Description	Examples of Records	UNIFORM reference (if applicable)	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
		Bulky Collections/Assisted Collections		BUHHC, BUHHD, BUQUOT, BUWGC, BUWGB, ASSIST	Destroy – 3 years from last action		Paper Files Uniform Record Email	
		Contaminated Land	Details of potentially contaminated or declared sites EPCONT = Contaminated Land Enquiries.	EPCONT	Keep ForeverSearch reports/enquiries – 7 yrs		Paper Files Uniform Record Email	
		Dangerous Dog	Records of dangerous dogs	DANGER	Destroy 3 years after last required		Paper Files Uniform Record Email	
		Demolition	General demolition notice to borough council under Building Act 1984	GDEMNO	Destroy 3 years after last required		Paper Files Uniform Record Email	
		Disconnection of Gas/Elec/Water Supply	Matters involving the intentional or accidental disconnection of utility	HSGDIS	Destroy 3 years after last required		Paper Files Uniform Record Email	

Ref	Function	Function Description	Examples of Records	UNIFORM reference (if applicable)	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
			services					
		Dog breeding	Breeding of Dogs Act 1973	DBREED	Destroy 3 years after last required		Paper Files Uniform Record Email	
		Dog Registration Query		DOGREG	Destroy 3 years after last required		Paper Files Uniform Record Email	
		Domestic	No Longer used	DASSIS, DBAD, DBINLD, DBINLM, DBINNR, DBINRE, DCOMP, DDAM, DDUMP, DENQ, DLARGE, DMISS, DOTHER, DPOORS, DREPLA,	Destroy – 3 years from last action		Paper Files Uniform Record Email	

Ref	Function	Function Description	Examples of Records	UNIFORM reference (if applicable)	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
				DSPILL				
		Drainage Records			Keep Forever		Paper Files Uniform Record Email	
		Duty of Care Non-Compliance	Investigation related to s.34(2A) Environmental Protection Act 1990	WDOC	Destroy – 3 years from last action		Paper Files Uniform Record Email	
		Energy Enquiry/Energy Conservation		ENERGC, ENERGD, ENRCON	Destroy – 3 years from last action		Paper Files Uniform Record Email	
		Environmental Protection	Environmental Protection Act 1990 Clean Neighbourhoods and Environment Act 2005 Environmental Protection Act 1990	EPAUTH, EPCONT, EPDUST, EPEASB, EPEBON, EPEEMR, EPEOTH, EPES CZ, EPIRQ, EPLIGH, EPOAG,	Destroy – 3 years from last action		Paper Files Uniform Record Email	

Ref	Function	Function Description	Examples of Records	UNIFORM reference (if applicable)	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
				EPODOM, EPOIND, EPOTH, EPWAT,				
		Environmental Enquiry		DASSIS, DBAD, DBINLD, DBINLM, DBINNR, DBINRE, DCOMP, DDAM, DDUMP, DENQ, DLARGE, DMISS, DOTHER, DPOORS, DREPLA, DSPILL	Destroy – 3 years from last action		Paper Files Uniform Record Email	
		Environmental Recycling		ENRALC, ENRBOT, ENRCBD,	Destroy – 3 years from last action		Paper Files Uniform Record Email	

Ref	Function	Function Description	Examples of Records	UNIFORM reference (if applicable)	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
				ENROTH, ENRPAP, ENRTEX				
		Food Training Registration	No legal requirement to train with WBC	Currently not recorded on uniform but may be in the future	Destroy – 3 years from last action		Paper Files Uniform Record Email	
		Food Alert or Hazard Warning	EU Directives 178/2002, 852/2004, Food Safety and Hygiene Regulations 2013 and others	FALERT, FHAZRD	Destroy – 3 years from last action		Paper Files Uniform Record Email	
		Food Hygiene Enquiry	EU Directives 178/2002, 852/2004, Food Safety and Hygiene Regulations 2013 and others	FHENQ	Destroy – 3 years from last action		Paper Files Uniform Record Email	
		Food Inspection	EU Directive 852/2004, Food Safety and Hygiene Regulations 2013 and others	FGEN	Destroy – 5 years from last action OR keep records of last three inspections		Paper Files Uniform Record Email	Need to keep for 5 years: whilst 3 years is widest intervention frequency,

Ref	Function	Function Description	Examples of Records	UNIFORM reference (if applicable)	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
								as these premises are lowest risk sometimes we don't get to them according to the 3 year frequency. Also, inspection history is part of the decision making process when deciding what enforcement action to take, so the last three need to be kept
		Food Registration	EU Directive 852/2004	FOOD2	Destroy 3 years after		Paper Files Uniform Record	

Ref	Function	Function Description	Examples of Records	UNIFORM reference (if applicable)	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
					last required		Email	
		Food Complaints (Premises)	EU Directive 852/2004	FHPREM, XFOOD	Destroy – 3 years from last action		Paper Files Uniform Record Email	
		Food Complaints (Food that has been bought or eaten)	EU Directive 178/2002, Food Safety Act 1990 and others	LABEL, MICRO, MOULD,	Destroy – 3 years from last action		Paper Files Uniform Record Email	
		Flytip	Illegal deposits of waste on land, section 33(1)(a) Environmental Protection Act 1990	OUTCON,	Destroy – 3 years from last action		Paper Files Uniform Record Email	
		General (Housing Dept Referral, Land Search, Licensing Consultation)	EU Directive 852/2004	UNFIT, EXT, CHEM	Destroy – 3 years from last action		Paper Files Uniform Record Email	
		Primary Authority Enquiry		PRIMAR	Destroy – 3 years from last action		Paper Files Uniform Record Email	
		Health Education		HECOMP,	Destroy – 3 years		Paper Files	

Ref	Function	Function Description	Examples of Records	UNIFORM reference (if applicable)	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
				HEENQ	from last action		Uniform Record Email	
		Health and Safety		HSACC, HSCAT, HSENQ, HSERVC, HSOFF, HSOTH, HSSHOP	Destroy – 7 years from last action		Paper Files Uniform Record Email	
		HMO licence		HSGHMO, HSGMAN, HMOADV, HMOCMP, HMOLIC, HMOMAN, HMOREG, HMOSUS, HMRAT, HMMIC, HMFLEA, HMCRC, HMBEDB,	Destroy – 5 years post the licence having expired		Paper Files Uniform Record Email	

Ref	Function	Function Description	Examples of Records	UNIFORM reference (if applicable)	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
		Household Refuse		WHREFE	Destroy – 3 years from last action		Paper Files Uniform Record Email	
		Housing (inc caravan)		HSGENQ, HSGCAR, HSGSOC, HSGSIP, HSGSIN, HSGOTH, HSGOCC, HGLDT, HSGTRA, HSGVAC, HSMail, HSHOME	Destroy – 3 years from last action		Paper Files Uniform Record Email	
		Immigration Inspection	Request for an immigration inspection. No legal requirement.	HSGIMF, HSGIMS, HSGIMG	Destroy – 3 years from last action		Paper Files Uniform Record Email	
		Infectious disease notifications	Diseases notifiable to local authority officers under the Health Protection (Notification) Regulations 2010, Public Health	CAMP, FPSUS, SOTHER, ECOLIX, IDENQ, IDFP,	Destroy 25 years after last required		Paper Files Uniform Record Email	

Ref	Function	Function Description	Examples of Records	UNIFORM reference (if applicable)	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
			(Control of Diseases Act 1984	IDOTH and 68 other codes				
		Lost or Missing Dog		LOST	Destroy – 3 years from last action		Paper Files Uniform Record Email	
		Noise Complaint	Complaint concerning noise affecting residential premises from a variety of sources	NADENQ, NAIR, NCAIR, NCALAR, NCALRM NCCD, NCCOM, NCCONS, NCDOGS, NCDOM, NCIND, NCINDU, NMACH, NCMUS, NCOTH, NCRAIL, NCSTR, NCTRAF, NDALRM,	Destroy – 3 years from last action		Paper Files Uniform Record Email	

Ref	Function	Function Description	Examples of Records	UNIFORM reference (if applicable)	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
				NDCD, NDDIY, NDDOG, NDLIV, NDMUS, NDOTH, NEQUIP, NOTH, NRAIL, NTRAF, NVALRM, NVOTH,				
		Pet Shop	Pet Animals Act 1951	PSHOP	Destroy – 3 years after last required		Paper Files Uniform Record Email	
		Pollution		POLAP, POLBON, POLCH, POLCHI, POLCON, POLDUS, POLENQ, POLGEN,	Destroy – 3 years from last action		Paper Files Uniform Record Email	

Ref	Function	Function Description	Examples of Records	UNIFORM reference (if applicable)	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
				POLWAT				
		Public Health	Public Health Acts 1936 and 1961, Prevention of Damage by Pests Act 1949	PHABV, PHACUC, PHACUM, PHACUP, PHALLY, PHBUR, PHDRN, PHDRNP, PHDRNT, PHENQ, PHEXUM, PHFNRL, PHGEN, PHLIT, PHMRDC, PHNAB, PHOAG, PHODOM, PHOGGN, PHOIND, PHOTH, PHRVST, PHSNC,	Destroy – 10 years from last action		Paper Files Uniform Record Email	

Ref	Function	Function Description	Examples of Records	UNIFORM reference (if applicable)	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
				PHSNP, PHTRAV, PHWAT				
		Public Health Funerals and Exhumations	Public Health Act 1948	PHFNRL, PHEXUM	Keep forever		Paper Files Uniform Record Email	
		Radiation		ENRADM	Destroy – 25 years from last action		Paper Files Uniform Record Email	
		Recycling		RADBOX, RASSIS, RBAD, RBINLD, RBINLM, RBINNR, RCOMP, RDAM, RDUMP, RENQ, RMISS, ROTHER, RPOORS, RREPLA,	Destroy – 3 years from last action		Paper Files Uniform Record Email	

Ref	Function	Function Description	Examples of Records	UNIFORM reference (if applicable)	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
				RSPILL				
		Registration for office or shop		OSRPA	Destroy – 3 years from last action		Paper Files Uniform Record Email	
		Pest Control Revisits		RVFLEA, RVISI3, RVISIT, RVMICE, RVRATS,	Destroy – 3 years from last action		Paper Files Uniform Record Email	
		Samples	Samples logged following EH investigation	ENBACT, ENCHEM, FFORM, FINF, WATDRI, WATSWM	Destroy – 3 years from last action		Paper Files Uniform Record Email	
		Smoke Free	Health Act 2006	SMCOMP, SMENQ, SMPRO	Destroy – 3 years from last action		Paper Files Uniform Record Email	
		Street Care		SCBAD, SCCOMP, SCDBD,	Destroy – 3 years from last action		Paper Files Uniform Record Email	

Ref	Function	Function Description	Examples of Records	UNIFORM reference (if applicable)	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
				SCDBF, SCDEAD, SCDOGF, SCDUMP, SCENQ, SCFLDU, SCFLYP, SCFLYT, SCGLAS, SCGOFN, SCGRAC, SCGROF, SCHAZ, SCLBD, SCLBF, SCLBR, SCLEAF, SCLEAV, SCLITT, SCNEAD, SCOFWA, SCOIL, SCOTHE, SCPIGE,				

Ref	Function	Function Description	Examples of Records	UNIFORM reference (if applicable)	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
				SCPOOR, SCSTNS, SCTROL,				
		Sunday Trading	Sunday Trading Act 1994	SUNTRA	Destroy 3 years after last required		Paper Files Uniform Record Email	
		Tattooing, acupuncture, skin piercing registration	Registration required under the Local Government (Miscellaneous Provisions) act 1982	SPPER, SPPREM	Destroy 3 years after last required		Paper Files Uniform Record Email	
		Trade		TBAD, TBINLD, TBINNR, TCOLLE, TCOMP, TDAM, TDUMP, TMISSB, TMISSS, TOTHER, TPOORS, TQUOTE,	Destroy – 3 years from last action		Paper Files Uniform Record Email	

Ref	Function	Function Description	Examples of Records	UNIFORM reference (if applicable)	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
				TSPILL				
		Unknown Service		UNBADM, UNDAMA, UNSPIL	Destroy – 3 years from last action		Paper Files Uniform Record Email	
		Vacant Commercial Premises		COMVAC	Destroy – 3 years from last action		Paper Files Uniform Record Email	
		Waste Advice	Sunday Trading Act 1994	WCADV, WDADV	Destroy – 3 years from last action		Paper Files Uniform Record Email	
		PDR		None	Delete as soon as no longer an employee		Electronic Files	
		Employee Information	Personal data concerning department employees	None	Delete as soon as no longer an employee		Electronic Files	
2.5	Community	Works to houses	Details of work done to properties under various schemes to improve		Solar – Interest free loan indefinite until property is sold.		Paper Files Uniform Record Email	

Ref	Function	Function Description	Examples of Records	UNIFORM reference (if applicable)	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
					Solid wall – 25 years from date of work finished.			
		Grants and Loans	Financial Assistance for repairs and improvements.		Grants under the old PSRP 2009 are 5 years. Grants under the new PSRP 2018 will be 7 years. Loans – indefinite until the charge is removed from Local Land Registry (i.e. the property is sold)		Paper Files Uniform Record Email	
		Private Sector Housing Advice and Complaints	Housing Act 2004 and associated Regulations		Destroy – 3 years from last action		Paper Files Uniform Record Email	

Ref	Function	Function Description	Examples of Records	UNIFORM reference (if applicable)	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
2.6	PEST CONTROL	Pest Control Domestic		FLEDOM, RATDOM, WASDOM, WASDCN, FLEDCN, WOODOM, RVRATS, SURVEY, MICDOM, MICDCN, RATDCN, OTHDCN, OTHINT, RVFLEA, RVISI3, RVISIT, RVMICE, WASINT, CNANT, ANANT3, CNANTP, CNATP3, CNBED3, CNBEDB,	Destroy – 3 years from last action	Paper Files Uniform Record Email		

Ref	Function	Function Description	Examples of Records	UNIFORM reference (if applicable)	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
				CNCRCH, CNFLE3, CNFLEA, CNFLR2, CNFLR3, CNGLI3, CNCLIS, CNMIC3, CNMICE, CNOTH3, CNOTHR, CNRAT, CNRAT3, CNSQUI, CNWAS3, CNWASP, CNWSA3, CNWSAD, CONANT, CONBEE, CONFLE, CONMIC, CONOTH, CONRAT,				

Ref	Function	Function Description	Examples of Records	UNIFORM reference (if applicable)	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
				CONRCH, CONTRA, CONWAD, CONWSP, DMANT, DMANT3, DMANTP, DMATP3, DMBED3, DMBEDB, DMBEES, DMCRC3, DMCRCH, DMFLE3, DMFLEA, DMFLR2, DMFLR3, DMGLIS, DMGLIS, DMMIC3, DMMICE, DMOTH3, DMOTHR, DMRATS3,				

Ref	Function	Function Description	Examples of Records	UNIFORM reference (if applicable)	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
				DMRATS, DMSQUI, DMWAS3, DMWASP, DMWSA3, DMWSAD, FLEINT, FRANT, FRANT3, FRANTP, FRATP3, FRBED3, FRBEDB, FRCRC3, FRCRCH, FRFLE3, FRFLEA, FRGLI3, FRGLIS, FRMIC3, FRMICE, FROTH3, FROTHR, FRRAT,				

Ref	Function	Function Description	Examples of Records	UNIFORM reference (if applicable)	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
				FRRAT3, FRSQU3, FRSQUI, FRWAS3, FRWASP, FRWSA3, FRWSAD, HMBEDB, HMCRC, HMFLEA, HMMIC, HMRAT, ICMFLE, ICMMIC, ICMOTH, ICMRAT, ICMWAD, ICMWAS				
		Stray Dog		STRAY, LOSMIS	Destroy – 3 years from last action	Paper Files Uniform Record Email		

Ref	Function	Function Description	Examples of Records	UNIFORM reference (if applicable)	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
		Unspecified Pest Complaint		XPEST	Destroy – 3 years from last action			
		Survey of Premises for Pests		SURVEY	Destroy – 3 years from last action			
2.7	EH&L SECTION GENERAL	Committee Reports	Various reports to committee	None		Retain drafts for 2 years from date of committee forever	R Drive	
		Employee Information	Personal information held on department employees	None		Delete as soon as no longer an employee	P Drive	
		PDR		None		Delete as soon as no longer an employee	Electronic Files	
2.8	PARKS	Allotments Tenants	Veolia manage and hold this information		Constantly updated as part of a large		Veolia	

Ref	Function	Function Description	Examples of Records	UNIFORM reference (if applicable)	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
					database of tenants			
		Cheslyn bookings	Names and addresses only		Destroy – 3 years from last action		Paper and on Env Services drive	
		Sports Clubs	Tenancy agreement details		Destroy – 3 years from last action		Veolia	
		Memorial donations	Names and addresses only		Destroy – 3 years from last action		On Env Services Drive	
2.9	WASTE AND STREETCARE	Clinical Waste Registration and Removal List			Destroy – 3 years from last action			
		Additional Green Bin Orders			Destroy – 3 years from last action			
		Real Nappy Application			Destroy – 3 years from last action			
		General Enquiries			Destroy – 3 years from last action			

Ref	Function	Function Description	Examples of Records	UNIFORM reference (if applicable)	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
		Operational Requests			Destroy – 3 years from last action			
2.11	CULTURE AND EVENTS	Sports development User Registrations			Destroy – 2 years from last action		Lockable cupboard	
		Sports Bursary application forms			Destroy – 2 years from last action		Lockable cupboard	
		Sports clubs Distribution mail out			Destroy – 3 years from last action		Outlook	
		Sports Coaches/instructors qualification records, DBS, Public liability etc			Destroy – 3 years from last action			
		User Registrations (Wat's on play programme)			Destroy – 3 years from last action		Email. Paperwork. Survey monkey.	

Ref	Function	Function Description	Examples of Records	UNIFORM reference (if applicable)	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
							Password protected file for email database	
		Website Subscribers			Destroy – 3 years from last action		Wix website	
		Event Application Form			Destroy – 3 years from last action		Paper files Commserv drive	
		Filming Application Form			Destroy – 3 years from last action		Paper files Commserv drive Email	
		Fireworks Traders			Destroy – 3 years from last action		Paper files Commserv drive Email	
		Registration for Museum Activities			Destroy – 3 years from last action			

Ref	Function	Function Description	Examples of Records	UNIFORM reference (if applicable)	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
		Donations Records			Destroy – 3 years from last action			
		General Enquiries			Destroy – 3 years from last action			
2.12	SAFE-GUARDING	Child Safeguarding Referral	Referral made in relation to safe-guarding concern, including under, but not limited to, the Children Act 1989	N/A	Destroy – 25 years from last action		Email Paperwork	see <i>R(C) v Northumberland County Council (NCC) and Information Commissioner's Office (Interested Party)</i>
		Adult Safe-Guarding Referral	Referral made in relation to safe-guarding concern, including under, but not limited to, Care Act 2014	N/A	Destroy – 25 years from last action		Email Paperwork	see <i>R(C) v Northumberland County Council (NCC) and</i>

Ref	Function	Function Description	Examples of Records	UNIFORM reference (if applicable)	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
								<i>Information Commissioner's Office (Interested Party)</i>
		Prevent Referral	Referral made in relation to safe-guarding concern, including under, but not limited to, the Counter Terrorism and Security Act 2015	N/A	Destroy – 10 years from last action		Email Paperwork	<i>see R(C) v Northumberland County Council (NCC) and Information Commissioner's Office (Interested Party)</i>
2.13	LEISURE AND COMMUNITY	Access, membership and direct debit details (Centrepoint	Records of all bookings	N/A	Destroy – 3 years from last action		Centrepoint Community Centre	

Ref	Function	Function Description	Examples of Records	UNIFORM reference (if applicable)	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
		Community Centre)						
		Booking Database (Centrepoint Community Centre)	Records of all bookings	N/A	Destroy – 3 years from last action		Centrepoint Community Centre Paper and electronic formats	
		Small grant fund applications	Records of all grant applications and supporting information	N/A	6 years		WBC Town Hall Paper and electronic formats	
2.14	Watford Market	Market trader licence	The licence agreement	Keep for the life of a licence, destroy within 3 years after surrender of licence	PDF scanned, signed documents stored electronically, signed paper documents	E - Environmental services drive H - Locked cabinet in locked market office	Watford Market	
		Enquiry to trade	Emails to MAM, recorded	Destroy 3		E - Environmental services drive.		

Ref	Function	Function Description	Examples of Records	UNIFORM reference (if applicable)	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
			on a spreadsheet	years from last action		Emails stored locally by MAM		
		Traders payment schedules	Excel spread sheets and letters to/from traders	Destroy 3 years from last action		E - Environmental services drive		
		Traders contact details and home address.	Telephone numbers, emails addresses, home address etc.	Keep for the life of a licence, destroy within 3 years after surrender of licence		E - Environmental services drive.		
		Traders Identification	Photocopied passport or driving licence	Keep for life of a licence. Destroy within 1 year of surrender of licence		H - Locked cabinet in locked market office		
		Reports to Committee (originals)	Written report	Kept forever				

Ref	Function	Function Description	Examples of Records	UNIFORM reference (if applicable)	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
		Receipt books/invoices	Hand written receipts for payment. Printed invoices, electronic invoices		Retain for up to 3 years, destroy after.		E – Stored by MAM H - Locked cabinet in locked market office	

3.0 Corporate Strategy and Communications

Ref	Function	Function Description	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
3.1	CONS.		The process of consulting the public	5 YEARS			

Ref	Function	Function Description	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
			and staff in the development of significant policies of the local authority. The process of consulting the public and staff in the development of minor policies of the local authority	1 YEAR			
	CORP1.		The corporate planning and reporting activities of local authorities eg. Corporate Plan, Strategy Plans, Business Plans	PERMANENT (ARCHIVED)			
	CORP2.		Team work programmes / unit plans	1 year			
	PERFMGT.		The process of monitoring or reviewing the quality, efficiency, or performance of a local authority service or unit.	5 YEARS from completion of work			

Ref	Function	Function Description	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
			The process of assessing the quality, efficiency or performance of a local authority service or unit	2 YEARS from completion of work			
	PUBLICRELATIONS		<p>The process of designing setting information for publication.</p> <p>The published work of the local authority</p>	<p>3 YEARS from last action</p> <p>Destroy after administrative use is concluded. Note: one copy from the initial print run should go directly to archive.</p>			
	MEDIARELATIONS		<p>Process of interaction with the media</p> <p>Media publications concerning local authorities</p>	<p>Destroy 3 years from closure</p> <p>PERMANENT (ARCHIVED)</p>			
	MARKETING		Process of developing and promotion of local authorities' campaigns	PERMANENT (ARCHIVED)			

Ref	Function	Function Description	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
			and events.				
	TRANSPARENCY		Process of collecting and reporting requirements	PERMANENT (ARCHIVED)			
	PMBMINUTES		Minutes of PMB meetings	3 YEARS			

4.0 Legal Services

Ref	Function	Function Description	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
4.1	DEBT	Rechargeable works, market charges, council tax charging orders, former tenancy arrears, commercial rent arrears, debt collection, overpaid housing benefit		6 YEARS 6 years from Charging Order being redeemed			

Ref	Function	Function Description	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
4.2	POSS	Possession, rent arrears		6 YEARS FROM DATE OF ORDER			
4.3	PROS	Prosecution		6 YEARS from date of final hearing			
4.4	S106	S 106 Agreements (Planning) (File)		6 YEARS Agreement forever or until notified been satisfied			
4.5	S38	S 38 Agreements (Highways)		6 YEARS from completion of work			
4.6	TPO	Tree Preservation Orders (File)		6 YEARS From Order ceasing to have effect			
4.7	LEASE	Leases		FOREVER			
4.8	EASE	Easements		FOREVER			
4.9	LIC	Licences relating to leasehold premises		FOREVER			
4.10	CONTRACT	Contracts		12 YEARS for contracts under seal 6 years for			

Ref	Function	Function Description	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
				contracts under hand from end			
4.11	ACQ	Acquisition of land		FOREVER			
4.12	SALE	Disposal of land		6 YEARS			
4.13	OMBUD	Ombudsman		6 YEARS			
4.14	GEN	General filing		3 YEARS			
4.15	ET	Employment Tribunal		6 YEARS (unless employee still employed then retain until employee leaves.			
4.16	NOMAG	Nomination Agreement		60 YEARS			
4.17	MOR	Mortgage (file)		6 YEARS From redemption unless under seal then keep for 12 years from date of redemption			
4.18	CPO	Compulsory Purchase Order		FOREVER			

Ref	Function	Function Description	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
4.19	S142	Highways Agreement (S142)		6 YEARS			
4.20	S115	Water Industry Act 1991 (S115)		6 YEARS			
4.21	JURE	Judicial Review		6 YEARS			
4.22	INQ	Planning Inquiry		6 YEARS			
4.23	APP	Appeal		6 YEARS			
4.24	INJ	Injunction		6 YEARS			

5.0 Development Management

Ref	Function	Function Description	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
5.1	Public register of Planning Applications	List of all planning application received by the local authority Held		Permanently		Held electronically viewable on the councils website via the Public Access module	Statutory Requirement

Ref	Function	Function Description	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
5.2	Planning applications	<p>Application forms and all documents required to make a decision on a planning application</p> <p>Correspondence associated with the planning application 2 years</p> <p>Decision notice</p> <p>Letters from members of the public objections support representation</p>		Permanently		<p>Maintained on the councils document management system Viewable via the councils website</p> <p>Kept for 2 years New practice in line with GPDR</p>	<p>Statutory Requirement</p> <p>New practice in line with GPDR</p>
5.3	Pre-application enquiries	Formal Pre application enquires that are submitted with a form and a fee which results in the applicant receiving written advice from a planning officer		Kept for 2 years		Maintained on the councils document management system	New Practice in line with GPDR
5.4	Works to a trees in	Works to trees in a Conservation area or		Decision Notice will be kept Permanently		Maintained on the councils document	New Practice in

Ref	Function	Function Description	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
		protected by an order Decision Notice and Consultee comments		All other documents will be destroyed after 2 year		management system Viewable via the councils website	line with GPDR
5.5	Appeal documents	Correspondence received from the Planning Inspectorate relating to an appeal of a refusal of planning permission <ul style="list-style-type: none"> Decision notice Check with PINs		Decision Notice will be kept Permanently All other documents will be destroyed after 2 years		Maintained on the councils document management system Viewable via the councils website	In line with the GDPR only the decision will be kept
5.6	S106 Agreements	Legal agreements pertaining to planning permissions <ul style="list-style-type: none"> <input type="checkbox"/> Signed agreements and any subsequent variations 		Permanently		Maintained on the councils document management system Viewable via the councils website	Statutory Requirement
5.7	Tree Preservation Orders	A signed and dated copy of the order with a plan identifying the tree <ul style="list-style-type: none"> <input type="checkbox"/> Signed and dated copy of the order with accompany plan 		Permanently		Maintained on the councils document management system Viewable via the councils website	Statutory Requirement
5.8	Enforcement Notices	<input type="checkbox"/> Notice and any appeal decision		Current year plus 6 years.		Maintained on the councils document management system	Statutory Requirement

Ref	Function	Function Description	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
		All correspondence regarding enforcement investigations		Current year plus 6 years			Common Practice
5.9	Building Control Records	Building control applications, specification, plans, correspondence, applications, decision notices and certificates		Permanent		Maintained on the councils document management system	Statutory requirements Building Act 1984 and Building regulations 2000
5.10	Land Charges	All Land Charges searches		7 years		Paper copies stored in the Town Hall Basement. Electronic copies stored on internal hard drive.	Common Practice

6.0 ELECTRONIC DOCUMENT MANAGEMENT PROPERTY MANAGEMENT TEAM

Ref	Function	Function Description	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
6.1	Filing	Document Filing	All correspondence including e mails to be filed under the relevant property/site				

Ref	Function	Function Description	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
			in the P Drive.				
6.2	Manage Documents	Document Version Control	Define version numbering for reports				
6.3	Archive	Document archiving	Archive both data and documents destroy after 6 12 or 15 years as per General disposal Guidelines for local Authorities				
			Archive both data and documents regarding disposals and acquisitions destroy after 12 years.				
			Archive un successful tenders for Ordinary Contracts and destroy after 1 year				
			Archive successful tenders for Ordinary Contracts and destroy after 6 years				
			Archive successful				

Ref	Function	Function Description	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
			tenders for Sealed Contracts and destroy after 12 years				
			Original Leases stored in Deed Packet in perpetuity				
			Managing leased property- destroy 15 years after the expiry of the lease				
6.4	Projects	Property Management projects	Stored within R Drive				
			Standard reports on system used as created by WBC				
6.5	Storing	Hard Copy files	Store in Strong Room on First Floor and store in categories, general Files, Investment retained, Operational, Investment Outsourced, Garages, Disposals etc. Need resources to go through each file and remove irrelevant				

Ref	Function	Function Description	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
			information with aim to scan these files				
6.6	Templates for Data Management consistency	General File	Refer to Property Management 1 file for templates for day to day management cases,				
			Refer to Intranet for relevant templates.				

Ref	Function	Function Description	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
7.1	Planning & Development	The activity of developing a vision and strategic directions regarding existing transport and infrastructure within the municipality	Structure Plan <input type="checkbox"/> Local Transport Plan	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded			Common practice
		The activity of	Definitive map	Permanent. Offer to			Common

Ref	Function	Function Description	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
		recording location of highways, bridle paths and rights of way	<input type="checkbox"/> Correspondence concerning enquiries and dispute	Archivist.			practice
		The activity of establishing planning scheme controls and providing for them to be amended and modified	Definitive map <input type="checkbox"/> Correspondence concerning enquiries and disputes	Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded			Common practice
		The process of receiving, considering and responding to submissions and objections to planning schemes and amendments	Enquiries, consultation documents, objections and correspondence	Destroy 7 years after decision. Offer controversial/high profile schemes to Archivist			Common practice
		The process of enforcing infrastructure and transport regulations		Destroy 50 years after enforcement notice. Destroy 3 years after compliance with enforcement notice			Common practice

Ref	Function	Function Description	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
7.2	Traffic Management	The activity of planning and programming the continued flow, diversion or reduction of traffic		Destroy 7 years after action completed			Common practice
7.3	Design and Construction	The activity of planning, designing, programming and constructing roads, streets, bridges and tunnels		Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded			Common practice
7.4	Infrastructure Management and Maintenance	The activity of providing municipal services in relation to infrastructure within the local authority	<ul style="list-style-type: none"> • Street files • Street records • Requests for: • Hedge clipping • Tree planting • Naming of streets • Numbering of houses • Street load limits • Street signs • Bus shelters • Application to dig up pavements • HGV application 	Destroy 7 years after last action			Common practice

Ref	Function	Function Description	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
			<ul style="list-style-type: none"> • Advice/comment • Level crossings • Right of ways • Roundabouts • Traffic calming measures • Street lighting 				
7.5	Road Maintenance	The activity of maintaining and repairing roads, streets, bridges, bridle paths, rights of way and tunnels		Destroy 12 years after action completed		Common practice	
7.6	Public Transport	Services The activities involved in the management and provision of public transport	<ul style="list-style-type: none"> • Timetables and routes • Maps • Fares • Customer and industry liaison 	Destroy 3 years after superseded or last action		Common practice	
7.7	Public area CCTV	Monitoring of public area CCTV cameras in town centre and at Council owned sites	<ol style="list-style-type: none"> 1) digitally recorded images on hard drives 2) master CD/ DVD of evidence 3) observation books 4) intelligence briefings 5) Subject Access Request emails and forms 	Destroy 7 years after action completed	Place Shaping and Corporate Performance and Environmental Health and Licensing	E and H	

8.0 Planning Retention Policy

Ref	Function	Function Description	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
8.1	Local Plan	The creation, implementation and management of the local plan		Retain until superseded and then offer to archivist.		Paper/electronic	Town and Country Planning Act 1990. No sensitive Persona data is stored
8.2	Public consultation documents created in relation of planning policy documents	Planning Policy documents Inquiries and objections made members of the public Public examination documents		Retain until document superseded.		Paper/electronic	Town and Country Planning Act 1990 No sensitive Persona data is stored

Ref	Function	Function Description	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
8.3	Community Infrastructure Levy charging schedule and supporting evidence	Community Infrastructure Levy		Retain until document superseded		Paper/electronic	Town and Country Planning Act 1990 Planning Act 2008 No sensitive Persona data is stored
8.4	Listed Buildings Information including sites and monuments records	Statutory and local lists, Buildings at Risk Register, site information.		Permanent.		Paper/electronic	Planning (Listed Buildings and Conservation Areas) Act 1990 No sensitive Persona data is stored

Ref	Function	Function Description	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
8.5	Conservation Management Plan and Area Appraisals	Preservation and enhancement of conservation areas					Planning (Listed Buildings and Conservation Areas) Act 1990 No sensitive Persona data is stored
8.6	Geographical Information Mapping	Mapped Land uses and policy designations		Retain until superseded when it will be destroyed.		Electronic	Town and Country Planning Act 1990 No sensitive Persona data is stored

9.0 Service Transformation

Ref	Function	Abbreviation	Function Description	Examples of Records	Retention Action	Department (s)	Location (E) Electronic (H) Hard Copy	Notes
9.1	ICT Service	ICT_POL	ICT Policies: Acceptable Use, Information Security, ICT Data Handling & Retention, Security Requirements in Third Party Agreements		Forever			
		ICT_STRAT	ICT Strategies		Forever			
		ICT_ITSG	IT Steering Group Minutes		Destroy 3 years from meeting			
		ICT_CONT1	Tender specifications: drafts		Immediately destroy			
		ICT_CONT2	Tender Documentation: Final specification; evaluation criteria; evaluation documentation and		Ordinary Contracts: Destroy 6 years after contract expiry Contracts Under Seal: Destroy 12 years after contract expiry			

Ref	Function	Abbreviation	Function Description	Examples of Records	Retention Action	Department (s)	Location (E) Electronic (H) Hard Copy	Notes
			scoring					
		ICT_CONT3	Tender Documentation: Successful tender – All vendor submission documentation		Ordinary Contracts: Destroy 6 years after contract expiry Contracts Under Seal: Destroy 12 years after contract expiry			
		ICT_CONT4	Tender Documentation: Unsuccessful tenders - All vendor submission documentation		1 year after start of contract			
		ICT_CONT5	Post Tender Award Negotiation: Clarification of contract, specification, minutes related to this.		1 year after start of contract			

Ref	Function	Abbreviation	Function Description	Examples of Records	Retention Action	Department (s)	Location (E) Electronic (H) Hard Copy	Notes
		ICT_CONT_MG1	Contract Management: Service reports, meeting minutes, service level agreements,		Destroy 2 years after contract expiry			
		ICT_CONT_MG2	Contract Amendments: Change control notices, contract extensions, payment disputes, related minutes, remediation activities & disputes		Ordinary Contracts: Destroy 6 years after contract expiry Contracts Under Seal: Destroy 12 years after contract expiry			
		ICT_ASSET1	Asset Monitoring and Maintenance: Asset management database		Destroy 7 years after the conclusion of the financial transaction that the record supports			
		ICT_ASSET2	Asset Reporting: Inventories, stock		Destroy 2 years after administrative use is			

Ref	Function	Abbreviation	Function Description	Examples of Records	Retention Action	Department (s)	Location (E) Electronic (H) Hard Copy	Notes
			control and disposal records		concluded			
		ICT_ASSET3	Asset Maintenance: All maintenance activities e.g. replacement of server parts.		Destroy 7 years after last action or disposal			
		ICT_SYS_MAN	Systems Management: Business cases, or project documentation and minutes used to extend life of a system to support service		Retain for life of system and then destroy			
		ICT_SYS_MAN2	Systems implementation: Related project documentation, ITSG minutes and approval		Destroy 7 years after last action			
		ICT_SYS_MAN3	Systems Maintenance:		Destroy 5 years after last action			

Ref	Function	Abbreviation	Function Description	Examples of Records	Retention Action	Department (s)	Location (E) Electronic (H) Hard Copy	Notes
			System support documentation					
9.2	Customer Services	CS_CMT1	Details of enquiries directed to Council logged through the councils customer management system		Destroy or anonymise after 6 years			
		CS_CMT2	Details of general enquiries directed to the Council received via email, letter, Fax		Destroy within 6 months of the enquiry being resolved or logged onto another council system			
		CS_CPT1	Complaints received and Council responses on council actions, policy or procedures logged through the councils customer management system		Destroy 6 years after complaint has been closed			
		CS_CRE1	Call recordings from call centre call recording system		Destroy 6 months after the call			

Ref	Function	Abbreviation	Function Description	Examples of Records	Retention Action	Department (s)	Location (E) Electronic (H) Hard Copy	Notes
		CS_Fol1	Fol requests and responses		Destroy 6 years after response			
		CS_SAR1	Data Subject Access requests and responses		Destroy 6 years after response			
		CS_WEF1	Website e-forms		Retention rules are set with agreement by services within the content management system during the form development			
		CS_SNN1	Street Naming and Numbering approval notices		Forever			
9.3	Transformation Programme documentation	ST_TRANS1	All approved project and programme documentation		6 years after Programme Closure			
		ST_TRANS2	All draft project and programme documentation		Upon approval of a subsequent version			

9.0 Democratic Services

Ref	Function	Function Description	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
			Personal details about ex-councillors e.g., address, phone number, personal e-mail address etc.	1 year following them ceasing to hold office, except for those who have been Chairman, as need to keep their information for invitations to civic events until such time as they pass away, leave the country or they request to no longer be invited			
			Minutes – signed hard copy bound in minute books and a final electronic copy and an electronic copy of any final Determination Notice from Licensing	Forever			

Ref	Function	Function Description	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
			Sub-Committee hearings				
			Reports – one electronic copy of the final report and one electronic copy of the final agenda and any supplementary agendas	Forever			
			Complaints and Freedom of Information Act requests received	6 years			
			Neighbourhood Locality Fund information regarding expenditure	7 years			
			Private details regarding guests attending civic events and nominations for the Audentior awards	1 year following on from the event			

Ref	Function	Function Description	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
			or similar ceremony				
			Private details of members of the public attending committee meetings e.g., Development Management Committee, Council, scrutiny etc.	Once minutes of the meeting which the person attending have been approved. In the case of scrutiny until the scrutiny topic has been completely finished including reviews by Overview and Scrutiny committee.			
			Petitions and petitioners signatures (both hard copy and e-petitions)	4 years (legal requirement if are background documents to committee reports			

10.0 Democracy & Governance

Ref	Function and Abbreviation Used for it	Function Description	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
10.1	FOI and Data Access requests	Correspondence with FOI requestors/Data Subjects		6 years from final reply			
10.2	Debt	Instructions and all action taken to recover a debt		6 years from date of judgment or last payment whichever is later			
10.3	Possession	Instructions and all action to recover possession of council premises		6 years from the date of the court order			
10.4	Prosecution	Instructions and all action relating to a		6 years from the date of conviction or acquittal			

Ref	Function and Abbreviation Used for it	Function Description	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
		prosecution					
10.5	Planning	<p>S106 Agreements/Deeds of Variation: Instructions and work associated with drafting a s106/deed of variation and the s106 document/deed.</p> <p>Planning Inquiry: Instructions and correspondence relating to a planning inquiry</p>		<p>6 years from date last obligation satisfied</p> <p>Drafts to be destroyed on execution of final agreement</p> <p>6 years from the Inspectors decision, or 3 years from any subsequent final judgment on appeal or judicial review</p>			

Ref	Function and Abbreviation Used for it	Function Description	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
10.6	Highway Agreements	Instructions and all correspondence and final agreement		6 years from date Agreement satisfied. Drafts to be destroyed on execution of final agreement			
10.7	TPO	Instructions and correspondence and final TPO		6 years from Order ceasing to have effect. Drafts to be destroyed on execution of final agreement			
10.8	Leases	Instructions and correspondence relating to the grant of a lease of		Executed lease to be permanently retained. Correspondence to			

Ref	Function and Abbreviation Used for it	Function Description	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
		<p>Council land and the executed lease.</p> <p>Instructions and correspondence relating to the taking of a lease by the Council</p> <p>Instructions and correspondence</p>		<p>be retained for 6 years from the end of the occupation of the lessee.</p> <p>6 years from surrendering or assigning the lease</p>			

Ref	Function and Abbreviation Used for it	Function Description	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
		relating to the taking of a lease by the Council					
10.9	Easements	Instructions and correspondence to grant or receive an easement		Keep easement Correspondence 6 years from date easement granted			
10.10	Licences	Instructions and correspondence to grant licences regarding leases Instructions and correspondence relating to granting or receiving		Licence kept Correspondence 6 years from date of licence. Licence 6 years from licence expiring. Correspondence 6 years from date of			

Ref	Function and Abbreviation Used for it	Function Description	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
		licences		licence			
10.11	Contracts	<p>Advice on contracts including vetting</p> <p>Instructions to draft contracts: Correspondence and final contract: Under hand</p> <p>Under Seal</p>		<p>3 years from date advice given</p> <p>Retain contract and correspondence for 6 years from date contract ends.</p> <p>Drafts to be destroyed when final contract executed and dated.</p> <p>As above but 12 years.</p>			

Ref	Function and Abbreviation Used for it	Function Description	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
10.12	Property	Acquisitions of land (not leases of less than 20 years): Instructions and Correspondence to acquire the freehold or long leasehold of a property Sale of freehold. Instructions and correspondence relating to the sale of council property		Keep conveyance/transfer /lease. Correspondence 6 years from date of purchase. 6 years from the date of disposal (unless covenants that benefit the council retained whereby retain			

Ref	Function and Abbreviation Used for it	Function Description	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
		<p>Redevelopment Projects: Project notes, meeting minutes</p> <p>Grant of a mortgage: Instructions and correspondence relating to the grant or</p>		<p>transfer)</p> <p>As above but notes and minutes 3 years from conclusion of project</p> <p>Retain mortgage deed for 12 years from date matures.</p> <p>Correspondence on grant for 6 years</p>			

Ref	Function and Abbreviation Used for it	Function Description	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
				completion of final agreement			
10.13	Ombudsman	Correspondence with Ombudsman		3 years from conclusion of complaint.			
10.14	Miscellaneous advice	Instructions and correspondence		3 years from the date the last advice given on the subject.			
10.15	External Queries	Correspondence with the public not related to specific case work		1 year from reply to query			
10.16	Employment Tribunals	Instructions and correspondence relating to an employment tribunal		Until employee leaves the Council or 6 years from date of judgment or settlement.			
10.17	Civil Litigation	Instructions to					

Ref	Function and Abbreviation Used for it	Function Description	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
		undertake or defend proceedings issued: Homelessness Reviews Non Homelessness Judicial Reviews		6 years from final judgment or settlement. 3 years from date of final judgment.			
10.18	Garages	Correspondence with licencees of garages including the garage licence.		1 year from vacating garage. Change of details 1 month from notification of change.			
10.19	Electoral	Management of the		Register to be kept for			

Ref	Function and Abbreviation Used for it	Function Description	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
	Register	electoral register.		historical purposes. 1 year from change made to the register			
10.20	Elections	Postal Votes: Postal Vote applications: Requests to stop receiving a postal vote Postal vote refresh		Retain while current 1 year from request actioned Old application to be retained for 1 year from new application being received. Retain while current.			

Ref	Function and Abbreviation Used for it	Function Description	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
		Declaration of results Nomination papers Agents details		of the election 12 months from date of election. Retain for 6 months after notification of any change.			
10.21	Council Minutes and Agendas	Formal agendas and minutes of council meetings and delegated decisions	Background documents and petitions Non-key decisions	Retain. Draft reports to be destroyed when final published 4 years from date of meeting			

Ref	Function and Abbreviation Used for it	Function Description	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
				6 years from date of decision			
10.22	Honours	Submission of applications for Honours		5 years from submission			
10.23	Civic Events	List of invitees to events. Council run civic events		1 year from date of event 6 years from date of event.			
10.24	Councillor Details	Councillor contact details and register of interests		1 year from standing down as a councillor unless they have been Chairman/Elected Mayor then retain for invitations to			

Ref	Function and Abbreviation Used for it	Function Description	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
				future civic events			
10.25	Public at meetings	Private details of members of the public attending committee meetings e.g., speakers at DMC		Once minutes of the meeting where the person attended have been approved. For scrutiny – once topic has been finished including reviews by O&S.			
10.26	Neighbourhood Locality Funds	Application for spending locality budget		7 years from award or refusal			
10.27	Tenders	Unsuccessful Tenders Documentation of progress and decisions (Reg84(7))		3 years from contract award to successful bidder or determination of legal challenge			

Ref	Function and Abbreviation Used for it	Function Description	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
10.28	Contract Monitoring	Correspondence and meetings with contractors		6 years from end of contract if under hand 12 years if under seal.			
10.29	Surveys of buildings	Maps, record, drawings and surveys relating to council owned property		Keep			

11.0 Revenues & Benefits

Ref	Function	Staff Responsible	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
11.1	Valuation Lists for Business Rates and Council Tax	Revenues Manager and Billing Team Leader		Permanent retention, or until superseded	Revenues		Revenues Manager and Billing Team Leader
11.2	Council Tax	Revenues Manager		Current plus 6 years	Revenues		Revenues

Ref	Function	Staff Responsible	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
	account and property records	and Billing Team Leader					Manager and Billing Team Leader
11.3	Business Rates account and property records	Revenues Manager and Billing Team Leader		Current plus 6 years	Revenues		Revenues Manager and Billing Team Leader
11.4	Sundry Debts	Revenues Manager and Recovery Team Leader		Current plus 6 years	Revenues		Revenues Manager and Recovery Team Leader
11.5	Benefits records and subsidies	Benefits Manager		Current plus 6 years, unless the claim is live or has an outstanding overpayment in which case retain all source documents	Benefits		Benefit Manager
11.6	Anite document imaging system	Document Processing Team Leader		Current plus 6 years	Revenues & Benefits		Document Processing Team Leader
11.7	Enforcement	Revenues Manager		Current plus 6 unless	Revenues		Revenues

Ref	Function	Staff Responsible	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
	Agents	& Recovery Team Leader		the case is still being actively traced regarding outstanding liability or invoice			Manager & Recovery Team Leader

12.0 Human Resources

Ref	Function	Function Description	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
12.1	Health & Safety	To protect the health, safety and welfare at work of employees, as well as others on their premises, including temps, casual workers, the self-employed, clients, visitors and the general public.	Accident/Incident Reports	Retention: 3 years from date of last entry, or if the accident involves a child/young adult, then until that person reaches the age of 21 (RIDDOR 1995) (SI 1995/3163). 40 to 50 years from date of last entry for some medical records.	HR	(E)	
12.2	Recruitment	The selection of an individual for an	Application forms	Retention: for successful applicants	HR	(E)	

Ref	Function	Function Description	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
		established position		the form becomes part of the P file and relevant retention period applies. Forms for unsuccessful applicants held for 6 months			
12.3	Background checks	To help prevent unsuitable people from working with vulnerable groups, including children.	Evidence of Disclosure and Barring Service check	Retention: The following basic information should be retained after the certificate is destroyed: the date of issue; the name of the subject; the type of disclosure; the position for which the disclosure was requested; the unique reference number; and the details of the recruitment decision taken	HR	(E)	

Ref	Function	Function Description	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
12.4	Eligibility to work in UK checks	To ensure prospective employees have the right to work in the UK before their employment commences.	ID documents	Retention: as per application form data	HR	(E)	
12.5	Employer's liability insurance	To ensure the employer has adequate protection against risk	Insurance certificates	Retention: Permanently	HR	(E)	
12.6	HR administration	Records relating to staff	Employment and career records	Retention: 6 years after employment ceases (Personnel files, current address details, contracts, variations, training records, casework records, working time records, record of previous service dates, qualifications/references, appraisals/PDRs, travel and subsistence claims, annual leave	HR	(E)	

Ref	Function	Function Description	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
				records, job applications (internal), recruitment/appointment/selection records, probation records)			
12.7	Equal Opportunities Monitoring	To collect information from job applicants on key characteristics which can be related to equal opportunities in employment.	Equal Opportunities Monitoring forms	Retention: for successful applicants the form becomes part of the P file and relevant retention period applies. Forms for unsuccessful applicants held for 6 months/1 year	HR	(E)	
12.8	Equalities	Monitoring workforce characteristics to ensure compliance with legislation and policies.	Workforce monitoring reports	6 years from end of equalities and diversity initiatives (Workforce monitoring equalities data maintained indefinitely)	HR	(E)	

Ref	Function	Function Description	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
12.9	Staff Retention	Employee Turnover and Retention	Exit questionnaires	Retention: 6 years after employment ceases	HR	(E)	
12.10	Statutory obligations	Freedom of information requests	FOI responses	Retention: Minimum of 6 months (as per ICO)	HR	(E)	
12.11	HR administration	Attendance management	Health records	Retention: 6 years after employment ceases (OH referrals, medical reports from doctors and consultants, LGPS ill health retirement certificates)	HR	(E)	
12.12	Payroll	Payroll records	Income Tax and NI returns, income tax records and correspondence with HMRC	Retention: Not less than 3 years after the end of the financial year to which they relate.	HR	(E)	

Ref	Function	Function Description	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
12.13	Pay and Grading	Job evaluation and equal pay	Job evaluation and equal pay records	Retention: 6 years after employment ceases	HR	(E)	
12.14	Statutory obligations	Pay rates	National minimum wage records	Retention: 3 years after the end of the pay reference period following the one that the records cover.	HR	(E)	
12.15	Payroll	Payroll Records	Employee pay and remuneration records	Retention: Salary records plus other payments: overtime, honoraria, expenses (retain for 6 years - Taxes Management Act 1970)	HR	(E)	
12.16	Pension administration (employer)	Provision of information to LGPS Administering Authority	Pension records	Retention: 6 years after employment ceases (Bank details - current) but Death Benefit nomination and revocation forms	HR	(E)	

Ref	Function	Function Description	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
				retained indefinitely (copy to LGPS) Also the following forms - return original to provider and copy to LGPS: Death certificates, Decree Absolutes, Marriage certificates/civil partnerships.			
12.17	Health and Safety	Compliance with Working Time Directive	Records relating to working time	Retention: 2 years from the date they were made.	HR	(E)	
12.18	Termination	The process of termination of staff through voluntary redundancy, dismissal and retirement	Redundancy records	Retention: Payments, calculation method, notifications to DWP. Retain for 6 years from date of redundancy	HR	(E)	
12.19	Termination	Retirement	Retirements Benefits Schemes - records of	Retention: 6 years from the end of the	HR	(E)	

Ref	Function	Function Description	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
			notifiable events, eg relating to incapacity	scheme year in which the event took place.			
12.20	Maternity	Administration of maternity leave and pay	Statutory Maternity Pay records, calculations, certificates (MAT B1 certs) or other medical evidence.	3 years after the end of the tax year in which the maternity period ends	HR	(E)	
12.21	Statutory Sick pay (SSP)	Administration of SSP scheme	Statutory Sick pay records	Retention: no statutory retention period since 2014 so treated as employee records and retained for up to 6 years	HR	(E)	
12.22	HR administration	Attendance monitoring	Time cards/attendance records	2 years after audit	HR	(E)	
12.21	Employee	Individual and collective workplace relationships	Trade Union agreements	Retention: 10 years after ceasing to be	HR	(E)	

Ref	Function	Function Description	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
	relations			effective.			
12.22	Employee benefits	Recruitment and retention	Trust deeds and minutes (e.g. Life assurance scheme)	Retention: Permanently	HR	(E)	
12.23	Employee benefits	Recruitment and retention	Trustees' minute books (e.g. Life assurance scheme)	Retention: Permanently	HR	(E)	
12.24	HR administration	Service provision change under the Transfer of Undertakings (Protection of Employment) Regulations (TUPE)	TUPE records	Retention: Permanently	HR	(E)	

13.0 Housing Department

Ref	Function	Function Description	Is the document used to obtain sensitive personal data?	How is the document stored (paper / electronic)?	Where is the document stored?	How long is the document stored?	What rules govern length of document storage and/or Responsible Officer
13.1	Housing Advice and Homelessness Inquiry Form	To obtain information about a client's housing and support circumstances to provide assistance and support and to assess homelessness under relevant legislation	Yes	Paper and/or electronic	Paper: Locked filing cabinet.	Housing Advice and Homelessness Inquiry Form	To obtain information about a client's housing and support circumstances to provide assistance and support and to assess

Ref	Function	Function Description	Is the document used to obtain sensitive personal data?	How is the document stored (paper / electronic)?	Where is the document stored?	How long is the document stored?	What rules govern length of document storage and/or Responsible Officer
							homelessness under relevant legislation
13.2	Electronic: Password protected information retrieval system (Locata and Home Connections)	7 years - after case is closed	The Council rules as set out by the Retention Guideline for Local Authorities 2003			Electronic: Password protected information retrieval system (Locata and Home Connections)	7 years - after case is closed
13.3	Bond Spreadsheets Who move in to Homelet	To keep a snapshot record of all bonds issued.	Yes	Electronic	Shared Housing Network Drive (N)	6 Years - from the Bond Expiry Date	Housing Property Manager
13.5	Bond Folders	To keep track of who, when, where and why a bond has been	Yes	Paper	Paper: Stored filing cabinet unlocked.	6 Years – from the Bond Expiry Date	Housing Property Manager

Ref	Function	Function Description	Is the document used to obtain sensitive personal data?	How is the document stored (paper / electronic)?	Where is the document stored?	How long is the document stored?	What rules govern length of document storage and/or Responsible Officer
		allocated.					
13.6	Budget Monitor	To keep track of all rent accounts in Temporary Accommodation	Yes	Electronic	Electronic: Online Database/software Specific User only access	6 Years	Housing Property Manager
13.7	Homeless Casework Files	Homeless Application form and supporting documents which are collected during investigation.	Yes	Paper and/or Electronic	Paper: Locked filing cabinet. Electronic: Password protected information retrieval system (Locata & Home Connections)	6 Years	Housing Solutions Manager
13.8	Housing Register (CBL Applications)	To store and acquire relevant data needed to determine if a person is eligible for social housing.	Yes	Paper and/or Electronic	Paper: Locked filing cabinet. Electronic: Password protected information retrieval system (Locata & HomeConnections)	6 Years	Housing Property Manager
13.9	TA Risk Assessments	For the management and safety of our	Yes	Paper and/or Electronic	Paper: Locked filing cabinet. Electronic:	6 Years	Senior Housing

Ref	Function	Function Description	Is the document used to obtain sensitive personal data?	How is the document stored (paper / electronic)?	Where is the document stored?	How long is the document stored?	What rules govern length of document storage and/or Responsible Officer
		tenants and the wider community.			Password protected information retrieval system (Locata and HomeConnections)		Property Officer
13.10	Tenancy/Occupancy Agreements	An agreement for the tenant and landlord to abide by.	Yes	Electronic	Electronic: Password protected information retrieval system (Locata and Home Connections)	6 Years	The Council rules as set out by the Retention Guideline for Local Authorities 2003 Housing Property Manager

14.0 Parking Services

Ref	Function	Function Description	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
	Processing Penalty Charge Notices	Issuing and processing of Penalty Charge Notices, processing of Representations and appeals and recovery of unpaid penalties.	Electronic notes made by Civil Enforcement Officers, DVLA Enquiry returns, correspondence sent and received in relation to the issuing of Penalty Charge Notices.	Up to 3 years for electronic records Up to 6 months for CCTV footage	Parking Service	Electronic records held on 360	
	Processing of Permits	Processing permits for residents, business, health organisations.	Electronic and paper applications	Up to 2 years	Parking Service	Paper files and Electronic records held on permit smarti	
	Complaints	Service complaints	Electronic and paper correspondence	Up to 12 months	Parking Service	Electronic files held on Council R drive or within First Step	
	Information Sharing	Electronic records supplied to number of third parties to assist in processing of Penalty Charge Noticing and detection of fraud	Register keeper records supplied from DVLA, correspondence records supplied to Traffic Penalty Tribunal, case history, vehicle details and registered keeper	Up to 3 years	Parking Service	Electronic files held on 360 or Permit Smarti Paper permit applications, correspondence received relating to issuing of Penalty Charge Notices.	

Ref	Function	Function Description	Examples of Records	Retention Action	Department(s)	Location (E) Electronic (H) Hard Copy	Notes
			records supplied to Enforcement Agents, permit application details supplied to Police.				