



# LICENSING RETENTION SCHEDULE

## Introduction

This Retention Schedule identifies processes which records support, rather than identifying individual types of records. This is for two reasons: -

- To make the retention period apply to all records independent of any format, i.e. the same rules apply to a paper file, an email, or another electronic document
- To allow flexibility in developing the Schedule to cover new processes and amend existing ones over time

The Schedule is intended to cover the lifecycle of records and information from creation through to destruction or permanent preservation.

Records intended for destruction may be destroyed in accordance with the provisions of the Schedule. Backup copies stored on alternative media (server/microfilm/paper) should also be destroyed. This is vital to ensure compliance with the requirements of the Data Protection Act 2018 (DPA 2018), UK General Data Protection Regulation 2016 (UK GDPR), Freedom of Information Act 2000 (FOI) and Environmental Information Regulations 2004 (EIR).

Records for permanent preservation should be offered to the public archive office.

## Limitation of Scope

Very few types of records have specified time periods for retention in law or in official government guidance. In order to develop this Schedule, key business areas were contacted in order for them to review and provide updates for their areas. Further, a review of the best practices adopted by other Local Authorities was conducted prior to the Schedule being created.



## Objectives of the Retention Schedule

The aims are to: -

- Prevent the premature destruction of records that need to be retained for a specified period to satisfy legal, financial, and other requirements of public administration
- Provide consistency for the destruction of those records not required permanently after specified periods in order to reduce the costs of unnecessary storage
- Promote improved Records Management practices which gives the public confidence that when information is destroyed it is done so according to well-considered rules
- Assist in identifying records that may be worth preserving permanently as part of the authority's archives



## HeadingsDescription and types of record retained

The Schedule provides a description of a process or an activity that the records support. The Schedule may also include instructions or guidelines relating to weeding, sampling, instructions on disposal, information on duplication of record content in other classes and cross-reference to other entries within the Schedule. The section will also provide common examples of the types of records included within the particular function.

## Retention Period

This field shows the length of time for which a record should be kept. This period (usually in years) can be applied from the date a record is created, closed, or tied into another specified activity. This field will also specify whether a type of record should be transferred to a public archive for permanent preservation.

## Glossary of Terms

## Administrative Use

When business use has ended, or the file has been closed.

Closure Example: Destroy 'x' years from closure

A record/file should be closed when it ceases to be active. After closure no new papers/information should be added to the record.

Records/files can be closed when: -

- They reach an unmanageable size (a new volume should be created)

- They cover 'x' years i.e. a maximum time period
- No more records have been added in 'x' years or another specified set period of time
- No action has taken place after 'x' period of time

## Retention Maximum Years

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

## End Action

This explains what should happen to the information at the end of the retention period specified.

Subject Areas	Trigger	Retention Maximum Years	End Action	Description and included record types	Authority/ Legal requirement for retaining the information
Granted <b>PREMISES AND PERSONAL</b> Licences	When Licence has lapsed, revoked or been surrendered	7 Years	Destroy	<b>Licenses &amp; Site Plans issued following determination</b>  Paper documents will be scanned and destroyed at the conclusion of the determination	Licensing Act 2003
Alcohol <b>PREMISES</b> Licence applications (New or variations)	When the application is determined	7 Years	Destroy	<b>The application will include:</b> <ul style="list-style-type: none"> <li>• Application form and payment</li> <li>• Plan of the licensed area</li> <li>• Consultation responses</li> </ul> Paper documents will be scanned and destroyed at the conclusion of the determination	Section 182 Guidance of the Licensing Act 2003
Alcohol <b>PERSONAL</b> Licence applications (New or variations)	When the application is determined	7 Years	Destroy	<b>The application will include:</b> <ul style="list-style-type: none"> <li>• Application form, Convictions declaration and payment</li> <li>• DBS certificate, Qualification Certificate, Passport or Right to work evidence</li> <li>• Photo and</li> <li>• Consultation responses</li> </ul> Paper documents will be scanned and destroyed at the conclusion of the determination	Section 182 Guidance of the Licensing Act 2003
<b>Temporary Event Notice (TEN)</b> (New)	When the application is determined	7 Years	Destroy	<b>The application will include:</b> <ul style="list-style-type: none"> <li>• Application form and payment</li> <li>• Consultation responses</li> </ul> Paper documents will be scanned and destroyed at the conclusion of the determination	Section 182 Guidance of the Licensing Act 2003
<b>Licensing Act Hearings</b> (Including reviews)	When Licence has lapsed, revoked or surrendered	7 Years	Transferred to a public archive for permanent preservation	<b>The documentation will include:</b> <ul style="list-style-type: none"> <li>• Application form</li> <li>• Consultation responses</li> <li>• Officer Reports</li> <li>• Determination</li> </ul> Paper documents will be scanned and destroyed at the conclusion of the determination	Section 182 Guidance of the Licensing Act 2003

<b>Licensing Act Enforcement</b> (Excluding reviews)	When the investigation is concluded	7 Years	Destroy	<b>The documentation will include:</b> <ul style="list-style-type: none"> <li>• Officer casefile notes</li> <li>• Copies of evidence obtained</li> <li>• Determination following investigation</li> </ul> <p>Paper documents will be scanned and destroyed at the conclusion of the determination</p>	Section 182 Guidance of the Licensing Act 2003
Granted Gambling <b>PREMISES, MACHINE PERMITS AND SMALL LOTTERY</b> Licences	When Licence has lapsed, revoked or surrendered	7 Years	Destroy	<b>Licenses issued following determination</b> <p>Paper documents will be scanned and destroyed at the conclusion of the determination</p>	Gambling Act 2005
Gambling <b>PREMISES</b> Licence applications (New or variations)	When the application is determined	7 Years	Destroy	<b>The application will include:</b> <ul style="list-style-type: none"> <li>• Application form and payment</li> <li>• Plan of the licensed area</li> <li>• Consultation responses</li> </ul> <p>Paper documents will be scanned and destroyed at the conclusion of the determination</p>	Gambling Act 2005
Gambling <b>MACHINE PERMIT</b> Licence applications (New or variations)	When the application is determined	7 Years	Destroy	<b>The application will include:</b> <ul style="list-style-type: none"> <li>• Application form and payment</li> <li>• Consultation responses</li> </ul> <p>Paper documents will be scanned and destroyed at the conclusion of the determination</p>	Gambling Act 2005
<b>SMALL LOTTERY LICENCE</b> Licence applications (New or return)	When the application is determined	7 Years	Destroy	<b>The application will include:</b> <ul style="list-style-type: none"> <li>• Application form and payment</li> <li>• Consultation responses</li> <li>• Lottery Return</li> </ul> <p>Paper documents will be scanned and destroyed at the conclusion of the determination</p>	Gambling Act 2005
<b>Temporary Use of premises for gambling (TUN)</b> (New)	When the application is determined	7 Years	Destroy	<b>The application will include:</b> <ul style="list-style-type: none"> <li>• Application form and payment</li> <li>• Consultation responses</li> </ul> <p>Paper documents will be scanned and destroyed at the conclusion of the determination</p>	Gambling Act 2005

<b>Gambling Act Hearings</b> (Including reviews)	When Licence has lapsed, revoked or surrendered	7 Years	Transferred to public archive for permanent preservation	<b>The documentation will include:</b> <ul style="list-style-type: none"> <li>• Application form</li> <li>• Consultation responses</li> <li>• Officer Reports</li> <li>• Determination</li> </ul> <p>Paper documents will be scanned and destroyed at the conclusion of the determination</p>	Gambling Act 2005
<b>Gambling Act Enforcement</b> (Excluding reviews)	When the investigation is concluded	7 Years	Destroy	<b>The documentation will include:</b> <ul style="list-style-type: none"> <li>• Officer casefile notes</li> <li>• Copies of evidence obtained</li> <li>• Determination following investigation</li> </ul> <p>Paper documents will be scanned and destroyed at the conclusion of the determination</p>	Gambling Act 2005
Granted Scrap Metal <b>SITE AND COLLECTORS</b> Licences	When the application is determined	7 Years	Destroy	<b>Licenses &amp; Site Plans issued following determination</b> <p>Paper documents will be scanned and destroyed at the conclusion of the determination</p>	Scrap Metal Act 2013
Scrap Metal <b>SITE</b> Licence applications (New or variations)	When the application is determined	7 Years	Destroy	<b>The application will include:</b> <ul style="list-style-type: none"> <li>• Application form and payment</li> <li>• DBS certificates, Photographs &amp; Bank Information</li> <li>• Consultation responses</li> </ul> <p>Paper documents will be scanned and destroyed at the conclusion of the determination</p>	Scrap Metal Act 2013
Scrap Metal <b>COLLECTORS</b> Licence applications (New or variations)	When the application is determined	7 Years	Destroy	<b>The application will include:</b> <ul style="list-style-type: none"> <li>• Application form and payment</li> <li>• DBS certificates, Photographs &amp; Bank Information</li> <li>• Consultation responses</li> </ul> <p>Paper documents will be scanned and destroyed at the conclusion of the determination</p>	Scrap Metal Act 2013
<b>Scrap Metal Act Hearings</b> (Including reviews)	When Licence has lapsed, revoked or surrendered	7 Years	Transferred to public archive for permanent preservation	<b>The documentation will include:</b> <ul style="list-style-type: none"> <li>• Application form</li> <li>• Consultation responses</li> <li>• Officer Reports</li> <li>• Determination</li> </ul> <p>Paper documents will be scanned and destroyed at the conclusion of the determination</p>	Scrap Metal Act 2013

<b>SCRAP METAL Act Enforcement</b> (Excluding reviews)	When the investigation is concluded	7 Years	Destroy	<b>The documentation will include:</b> <ul style="list-style-type: none"> <li>Officer casefile notes</li> <li>Copies of evidence obtained</li> <li>Determination following investigation</li> </ul> <p>Paper documents will be scanned and destroyed at the conclusion of the determination</p>	Scrap Metal Act 2013
<b>HOUSE TO HOUSE</b> Charity Collection Permits (New)	When the application is determined	7 Years	Destroy	<b>The application will include:</b> <ul style="list-style-type: none"> <li>Application form and letter from Charity</li> <li>Consultation responses</li> <li>Collection Return</li> </ul> <p>Paper documents will be scanned and destroyed at the conclusion of the determination</p>	House to House Collections Act 1939
<b>STREET COLLECTION</b> Charity Collection Permits (New)	When the application is determined	7 Years	Destroy	<b>The application will include:</b> <ul style="list-style-type: none"> <li>Application form and letter from Charity</li> <li>Consultation responses</li> <li>Collection Return</li> </ul> <p>Paper documents will be scanned and destroyed at the conclusion of the determination</p>	Police and Factories Act 1916
<b>Granted STREET TRADING AND PAVEMENT PERMISSION PERMITS</b> Licences	When the application is determined	7 Years	Destroy	<b>Licenses &amp; Site Plans issued following determination</b> <p>Paper documents will be scanned and destroyed at the conclusion of the determination</p>	Local Government (Miscellaneous Provisions) Act 1982 & Levelling Up and Regeneration Act 2023
<b>STREET TRADING</b> Licence applications (New or variations)	When the application is determined	7 Years	Destroy	<b>The application will include:</b> <ul style="list-style-type: none"> <li>Application form and payment</li> <li>Plan of the site / photograph</li> <li>Insurance certificate and risk assessment</li> <li>Consultation responses</li> </ul> <p>Paper documents will be scanned and destroyed at the conclusion of the determination</p>	Local Government (Miscellaneous Provisions) Act 1982
<b>STREET TRADING Act Hearings</b> (Including reviews)	When Licence has lapsed, revoked or surrendered	7 Years	Transferred to public archive for permanent preservation	<b>The documentation will include:</b> <ul style="list-style-type: none"> <li>Application form</li> <li>Consultation responses</li> <li>Officer Reports</li> <li>Determination</li> </ul> <p>Paper documents will be scanned and destroyed at the conclusion of the determination</p>	Local Government (Miscellaneous Provisions) Act 1982



<b>PAVEMENT PERMIT</b> applications (New or variations)	When the application is determined	7 Years	Destroy	<b>The application will include:</b> <ul style="list-style-type: none"> <li>• Application form and payment</li> <li>• Plan of the site</li> <li>• Insurance certificate and risk assessment</li> <li>• Consultation responses</li> </ul> <p>Paper documents will be scanned and destroyed at the conclusion of the determination</p>	Levelling Up and Regeneration Act 2023
Hackney Carriage and Private Hire <b>DRIVERS</b> Applications	When the application is determined	7 Years	Destroy	<b>The application will include:</b> <ul style="list-style-type: none"> <li>• Application form and payment</li> <li>• Driving Licence, Passport or Right to Work, proof of address (i.e. Bank Statement)</li> <li>• Training Certificates (Safeguarding and Disability), Driving qualification</li> <li>• Group 2 medical, Enhanced DBS certificates, HMRC tax information</li> </ul> <p>Paper documents will be scanned and destroyed at the conclusion of the determination</p>	Town Police Clauses Act 1847 & Local Government (Miscellaneous Provisions) Act 1982
Hackney Carriage and Private Hire <b>VEHICLE</b> Applications	When the application is determined	7 Years	Destroy	<b>The application will include:</b> <ul style="list-style-type: none"> <li>• Application form and payment</li> <li>• Basic DBS for vehicle owners</li> <li>• Insurance certificates</li> <li>• MOT history</li> <li>• V5 Logbook and Proof of ownership</li> </ul> <p>Paper documents will be scanned and destroyed at the conclusion of the determination</p>	Town Police Clauses Act 1847 & Local Government (Miscellaneous Provisions) Act 1982
Private Hire <b>OPERATORS</b> Applications (new and variations)	When the application is determined	7 Years	Destroy	<b>The application will include:</b> <ul style="list-style-type: none"> <li>• Application form and payment</li> <li>• Plan of the site</li> <li>• Insurance certificate and risk assessment</li> <li>• Consultation responses</li> </ul> <p>Paper documents will be scanned and destroyed at the conclusion of the determination</p>	Local Government (Miscellaneous Provisions) Act 1982
Hackney Carriage and Private Hire <b>Hearings</b> (Including reviews)	When Licence has lapsed, revoked or surrendered	7 Years	Transferred to public archive for permanent preservation	<b>The documentation will include:</b> <ul style="list-style-type: none"> <li>• Application form</li> <li>• Consultation responses</li> <li>• Officer Reports</li> <li>• Determination</li> </ul> <p>Paper documents will be scanned and destroyed at the conclusion of the determination</p>	Town Police Clauses Act 1847 & Local Government (Miscellaneous Provisions) Act 1982
Hackney Carriage and Private Hire <b>Enforcement</b> (Excluding reviews)	When the investigation is concluded	7 Years	Destroy	<b>The documentation will include:</b> <ul style="list-style-type: none"> <li>• Officer casefile notes</li> <li>• Copies of evidence obtained</li> <li>• Determination following investigation</li> </ul> <p>Paper documents will be scanned and destroyed at the conclusion of the determination</p>	Town Police Clauses Act 1847 & Local Government (Miscellaneous Provisions) Act 1982

Granted <b>ROAD CLOSURE PERMITS</b> Licences	When the application is determined	7 Years	Destroy	<b>Licenses &amp; Site Plans issued following determination</b>  Paper documents will be scanned and destroyed at the conclusion of the determination	Clause 21 Of Town Police Clauses Act 1847
<b>ROAD CLOSURE</b> Applications (new)	When the application is determined	7 Years	Destroy	<b>The application will include:</b> <ul style="list-style-type: none"> <li>• Application form</li> <li>• Plan of the site</li> <li>• Insurance certificate and risk assessment</li> <li>• Consultation responses</li> </ul> Paper documents will be scanned and destroyed at the conclusion of the determination	Clause 21 Of Town Police Clauses Act 1847