



Full Group Document Retention Schedule

Our Data Protection Officer

We have a Data Protection Officer (DPO), who is responsible for monitoring our compliance with Data Protection. If you require further guidance or advice, or have any questions regarding document retention and destruction please email - CaledoniaDPO@caledoniaha.co.uk or contact us on 0800 678 1228

NOTES

- 1) This Schedule refers to documents containing personal data about customers (including tenants, residents and other service users); employment applicants; volunteers (including governing body members); and any other members of the public who contact us.
- 2) It also refers to internal documents relating to People, Payroll, Finance and Governance containing personal data and other confidential information about staff, volunteers (including governing body members), suppliers, and general business administration and management.
- 3) Documents have been categorised according to the originating Department / function and reflect the content of their respective Information Asset Registers.
- 4) This Schedule has been developed with reference to guidance provided by Scottish Federation of Housing Associations (SFHA), National Housing Federation (NHF) and Scottish Council on Archives (SCA).
- 5) If you have any questions regarding this Schedule, please contact the Governance Team as per above.

GROUP DOCUMENT RETENTION SCHEDULE

ASSET MANAGEMENT							
Ref.	Type of Information / record	Information held	Purpose for Processing	Formats	Retention Period	Retention Trigger (Start of Retention Period)	Retention Period Authority
Planned Maintenance							
AM001	Tenants bank details Form	name, address, bank details	To make disturbance payments for kitchen heating etc replacements	Paper and Electronic	Nil - disposed of when passed to BS	Date passed to Business Support	Best practice / Prescription of claims
AM002	Sharing Owners and Tenants contact details (individually)	name, address, phone numbers	to provide contractors with tenants details for access arrangements	Paper and Electronic	Nil	Date supplied to contractor.	Best practice
AM003	Sharing Owners and Tenants contact details (Group)	name, address, phone numbers	to provide contractors with tenants details for access arrangements	Paper and Electronic	Nil	Date supplied to contractor.	Best practice
Factoring							

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AM004	Application forms for new shared equity housing	name, address, date of birth, phone number, email address, housing circs, employment, income, mortgage lender, solicitor, health	To allow individuals to be allocated shared equity housing in line with Scottish Gov guidelines	Paper and Electronic	Nil	Occupancy end date	Best practice / Prescription of claims
AM005	Interview form for shared ownership housing (buying on open market)	name, address, date of birth, phone number, email address, housing circumstances, mortgage lender, solicitor	To have occupancy agreement drawn up for sharing owners	Paper and Electronic	Nil	Date agreement signed	Best practice
AM006	Occupancy Agreement	Name, Address	Record of agreement with individual		5 years	Occupancy end date	Best practice / Prescription of claims
AM007	Factoring annual satisfaction surveys	name, address, phone number	Results of survey inform service improvements and reported to SHR	Paper	2 years	Survey completion date	Name, Address
AM008	Communal work requests	name, address, phone number	Permission needed to go ahead with communal work over agreed price threshold	Paper	5 years	work completion date	name, address, phone number
Stage 3 Adaptations							

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AM009	HAG (Housing Association Grant) request form	contact details, health	In order to proceed with a stage 3 adaptation	Paper and Electronic	5 years	Date of completed works	Best practice / Prescription of claims
AM010	Case Sheets for bathroom adaptations	Name, Address and contact details and work required details, health	information for contractors	Paper and Electronic	Nil	Date supplied to contractor	Best practice
AM011	Client corresponds	Name, Address	Inform clients of case updates	Paper and Electronic	Nil	Date passed to BS	Best practice
AM012	Works Orders	Name, Address, and contact details	To raise a works order for contractors	Paper and Electronic	Nil	Date processed	Best practice
Stage 3 Adaptations							
AM013	Invoice	Name, address	To pay contractors on completion	Paper and Electronic	7 years	Date of receipt	Best practice / Prescription of claims
AM014	Snagging Reports from Clerk of works	Name, address	To ensure works are completed properly	Paper and Electronic	5 years	Date of report	Best practice
AM015	Statistical Report	Name, address	To report KPI	Electronic	5 years	Date of report	Best practice
AM016	Factoring invoices & statement	Name, address, correspondence address	To invoice factored customers their management fee, insurance, share of common works, utilities etc.	Electronic	Nil	Termination of ownership	Best practice

GROUP DOCUMENT RETENTION SCHEDULE

AM017	Written Statements	address (no personal data recorded only details in relation to the property)	To inform factored customers of the services provided to them	Electronic	7 years	End of factoring agreement	Best practice / Prescription of claims
AM018	Owners Contact Details form	Name, address, correspondence address, telephone number, email address	To ensure correct details are held for factored customers	Electronic	Nil	Termination of ownership	Best practice
AM019	Refund Request Form	Name, address, bank details	To refund overpayments to factoring account	Electronic	Nil	Date passed to BS	Best practice
AM020	Direct Debit forms	Name, address, correspondence address, telephone number, bank details	To set up a Direct Debit as a payment method	Electronic	Nil	Date processed	Best practice

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CUSTOMER SERVICES							
Ref.	Type of Information / record	Information held	Purpose for Processing	Formats	Retention Period	Retention Trigger (Start of Retention Period)	Retention Period Authority
OP001	End of Tenancy Form	Terminating Tenants Name, Address, Contact number, email,	Notification of termination and to commence void process	Paper / electronic	5 years	Tenancy end date	Best practice / Prescription of claims
OP002	Void Process - Admin Checklist	Terminating Tenants Name, Address, Tenancy No, Start and End dates, National Insurance No, DOB, Forwarding Address Matched Applicants - Name, reference number, Homeless status New Tenant - Name, DOB, Tenant No, Rent No, start date	Progress matches and offers of tenancy	Electronic	5 years	Tenancy end date	Best practice / Prescription of claims

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OP003	Correspondence between LA regarding matches	Name, Address, DOB,	Progress matches and offers of tenancy	Paper / electronic	5 years	Tenancy end date	Best practice / Prescription of claims
OP004	Matching form (including Northgate info)	Name, Address, contact number, email, household composition, potentially health / criminal	Progress matches and offers of tenancy	Paper / electronic	5 years	Tenancy end date	Best practice / Prescription of claims
OP005	Offer Letter	Name, Address	Offer of tenancy	Electronic	5 years	Tenancy end date	Best practice / Prescription of claims
OP006	Tenancy reference requests	Name, address, rent and tenancy details	Allocations	Electronic	5 years	Tenancy end date	Best practice / Prescription of claims
Tenancy File / Housefile							
OP007	Pre tenancy/sign up form	Name, address, contact details, NI Number, DOB, impairments / health conditions	Handover of property - capture key info about tenant	electronic	5 years	Tenancy end date	Best practice / Prescription of claims

GROUP DOCUMENT RETENTION SCHEDULE

OP008	New Tenant Visit Form	name, address, phone number, email, household composition, impairments / health conditions	Review tenancy /changes and problems with property	Paper / electronic	5 years	Tenancy end date	Best practice / Prescription of claims
OP009	Tenancy Agreement/Occupancy Agreement	Name, address, rent details	Legal contract	Paper / electronic	5 years	Tenancy end date	Best practice / Prescription of claims
OP010	Standard letters to individuals	Name, address, tenancy ref	Tenancy or estate management issues	Electronic	5 years	Tenancy end date	Best practice / Prescription of claims
OP011	Standard letters - mail merges	Name, address, tenancy ref	Tenancy or estate management issues	Electronic	5 years	Tenancy end date	Best practice / Prescription of claims
OP012	Correspondence to \ from tenants	Name, address, any tenancy related information	Customer contact	Electronic	5 years	Tenancy end date	Best practice / Prescription of claims
OP013	Data Protection Mandate	Name, address, tenancy ref, contact details, third party contact details	To record who can act on behalf of any individual	Electronic	5 years	Tenancy end date	Best practice / Prescription of claims
OP014	Power of Attorney documents	Name, Address, General/Welfare/ Financial powers/ health	To record who can act on behalf of any individual	Electronic	5 years	Tenancy end date	Best practice / Prescription of claims

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OP015	Guardianship details	Name, Address, General/Welfare/ Financial powers / health	To record who can act on behalf of any individual	Electronic	5 years	Tenancy end date	Best practice / Prescription of claims
OP016	Tenancy reference requests	Name, address, rent and tenancy details	To allocate a property	Electronic	5 years	Tenancy end date	Best practice / Prescription of claims
OP017	Correspondence to \ from Social Work	Name, address, rent details, relevant tenancy info	Tenancy sustainment	Electronic	5 years	Tenancy end date	Best practice / Prescription of claims
OP018	Correspondence to \ from support agencies	Name, address, rent details, relevant tenancy info	Tenancy sustainment	Electronic	5 years	Tenancy end date	Best practice / Prescription of claims
OP019	Estate Management Letters	Name, Address,	Tenancy management	Electronic	5 years	Tenancy end date	Best practice / Prescription of claims
OP020	Referral / Liaison with HM Prison Service	Name, address, rent details	Rent payment	Electronic	5 years	Tenancy end date	Best practice / Prescription of claims
Rent Payments							
OP021	Direct Debit Mandates	Name, address, bank details, tenancy ref, rent details	Payment	Electronic / Paper	Nil	Date of receipt	Best practice
OP022	Standing order forms	Name, address, tenancy ref, rent details	Payment	We do not hold	Nil	Date of receipt	Best practice
OP023	Rent payments	Name, address, tenancy ref, card details	Payment	Electronic	5 years	Tenancy end date	Best practice / Prescription of claims

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OP024	Rent Statements	Name, address, tenancy ref, rent details	Rent payment	Electronic	5 years	Tenancy end date	Best practice / Prescription of claims
OP025	Credit Refund Requests	Name, address, tenancy ref, rent details, bank details	Refunding credit	Paper / electronic	Nil	Date produced	Best practice
Benefit Claims and Advice							
OP026	HB application	Name, address, housing benefit ref, rent details, relevant tenancy info	HB payment	Electronic	Nil	Date submitted	Best practice
OP027	Community Care Grants	Name, address, any tenancy related information	Claiming community care grant	Electronic	5 years	Tenancy end date	Best practice / Prescription of claims
OP028	Application for Discretionary Housing Payment	Name, address, contact details, housing benefit ref, NI no, rent details, relevant tenancy info	Application for discretionary housing payment	Electronic	5 years	Tenancy end date	Best practice / Prescription of claims
OP029	Housing Benefit E-Claim	Name, address, rent details	Claiming housing benefit	Electronic	Nil	Date submitted	Best practice
OP030	Evidence of ID, payslips, bank statements, benefit award letters, SST	Name/address/age	Check ID at sign up	Paper / electronic	Nil	Date evidence viewed	Best practice

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OP031	Referrals for benefits & money advice	Name, address, date of birth, household composition, rent details, relevant tenancy info	Money & benefits advice	Electronic	5 years	Tenancy end date	Best practice / Prescription of claims
OP032	HB Consent Mandate	Name, address, hb ref, NI no, date of birth	Consent mandate	Electronic	5 years	Tenancy end date	Best practice / Prescription of claims
OP033	Housing benefit change in circumstances	Name, address, previous address, hb ref, rent details, household composition, contact details	Change of circumstances	Electronic	Nil	Tenancy end date	Best practice
OP034	Universal Credit Rent Verification	Name, address, date of birth, NI no, rent details, tenancy ref	Rent verification	Electronic	5 years	Tenancy end date	Best practice / Prescription of claims
OP035	Universal Credit UC47	Name, address, date of birth, NI no, rent details, tenancy ref, health	Application for direct payment	Paper / Electronic	5 years	Tenancy end date	Best practice / Prescription of claims
OP036	Correspondence to \ from Housing Benefit	Name, address, housing benefit ref, rent details, relevant tenancy info	HB payment	Electronic	5 years	Tenancy end date	Best practice / Prescription of claims

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OP037	Correspondence to DWP	Name, address, tenancy ref, NI no, rent details	UC payment	Electronic	5 years	Tenancy end date	Best practice / Prescription of claims
OP038	HB Reconsideration letter	Name, address, housing benefit ref, relevant tenancy info, health	Reinstate HB claim	Electronic	5 years	Tenancy end date	Best practice / Prescription of claims
OP039	Referrals to Supporting People	Name, address, date of birth, contact details, relevant tenancy info, health	Tenancy sustainment	Electronic	5 years	Tenancy end date	Best practice / Prescription of claims
OP040	Housing Benefit Suspensions	Name, address, hb ref	HB suspensions	Electronic	Nil	Date received	Best practice
OP041	Housing Benefit Payment Schedule	Name, address, hb ref, hb payment details	HB payments	Electronic	Nil	Date received	Best practice
OP042	Housing Benefit Notifications	Name, Address	HB payments	Paper/Electronic	Nil	Date received	Best practice
OP043	Benefits Advice spreadsheet	Name, address, tenancy ref, rent arrs, benefits, contact details, financial, health	Benefits/debt advice, benefit claims	Electronic	3 years	Date of last case management action	Best practice

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OP044	Benefits Advice, mandates/copies	Name, address, date of birth, NI No, tenancy ref no, HB ref no, financial, health	Benefits/debt advice, benefit claims	Paper/electronic	6 months	Date of last case management action	Best practice
OP045	Benefits Advice, referrals	Names, address, d of b, phone no, NI No, GP name, financial, health	support/contact other agencies	Paper/electronic	6 months	Date of last case management action	Best practice
OP046	BA DWP,LA/HMRC forms/copies	Names, address, d of b, phone no, NI No, phone no, GP details, financial, health	maximise income, arrears reduction	face to f, paper, electronic	6 months	Date of last case management action	Best practice
Arrears							
OP047	Standard arrears letters	Name, address, tenancy ref, rent details	Rent payment	Electronic	5 years	Tenancy end date	Best practice / Prescription of claims
OP048	Income & Expenditure form	Name, address, rent details, financial information	Income maximisation	Electronic	5 years	Tenancy end date	Best practice / Prescription of claims
OP049	Third Party Deduction	Name, address, date of birth, NI no, rent details	Arrears direct	Electronic	5 years	Tenancy end date	Best practice / Prescription of claims
OP050	Standard Former Tenants Letters	Name, address, tenancy ref, rent details	Arrears payment	Electronic / paper	5 years	Date produced	Best practice

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OP051	Write Off Request	Name, address, tenancy ref, rent details	Write off arrears	Paper / electronic	5 years	Date produced	Best practice
OP052	Debt Recovery \ Earnings \ Bank Arrestment	Name, address, forwarding address, contact details, rent details, relevant tenancy info, employment details, bank details	Pursue debt	Electronic	5 years	Tenancy end date	Best practice / Prescription of claims
OP053	Trust Deeds \ Bankruptcy	Name, address, rent details, income & expenditure	Pursue debt	Electronic	5 years	Tenancy end date	Best practice / Prescription of claims
Changes to Tenancy							
OP054	Permission requests - Pets	name, address, contact	To decide if pet can be permitted	Electronic	5 years	Tenancy end date	Best practice / Prescription of claims
OP055	Permission requests - Property Alterations	name, address, contact, health	To decide if alteration can be completed	Electronic	5 years	Tenancy end date	Best practice / Prescription of claims

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OP056	Assignment form /letters	name, address, contact numbers, email, NI number, Household composition - including name, relationship, age, DOB, NI number	To progress Assignment	Electronic	5 years	Tenancy end date	Best practice / Prescription of claims
OP057	Change to Joint Tenancy	name, address,	to change tenancy	Electronic	5 years	Tenancy end date	Best practice / Prescription of claims
OP058	Lodgers Form	name, address, lodgers name previous address, contact, landlord details, DOB, offences	To approve lodger	Electronic	5 years	Tenancy end date	Best practice / Prescription of claims
OP059	Mutual Exchange forms and letters	name, address, outgoing tenant and incoming, landlord reference, offences	to request and progress an exchange	Electronic	5 years	Tenancy end date	Best practice / Prescription of claims
OP060	Sublet request	name, address, lodgers name previous address, contact, landlord details, DOB, offences	To request and progress a sublet	Electronic	5 years	Tenancy end date	Best practice / Prescription of claims

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OP061	Successions forms and letters	name, address, lodgers name previous address, contact, landlord details, DOB, offences	To progress a succession of tenancy	Electronic	5 years	Tenancy end date	Best practice / Prescription of claims
Anti-social Behaviour							
OP062	Police Reports Requests	Name, address, complainant, prep, incident details, Health, Offences, allegations	To investigate anti-social behaviour allegations	Electronic	5 years	Tenancy end date	Best practice / Prescription of claims
OP063	ASB incident logs	name, address, complainer and perp, opinions	Record of reported anti-social behaviour incidents	Electronic	5 years	Tenancy end date	Best practice / Prescription of claims
OP064	ASB witness statements	Name, address, complainer, prep, incident details	To investigate anti-social behaviour allegations	Electronic	5 years	Tenancy end date	Best practice / Prescription of claims
OP065	Community Safety Reports/ emails	Name, address, Criminal, Health	Health & safety	Electronic	5 years	Tenancy end date	Best practice / Prescription of claims
OP066	Case conference notes (SWS)	Name, address, tenancy issues, health	Tenancy sustainment	Electronic	5 years	Tenancy end date	Best practice / Prescription of claims
OP067	CJSM (secure email) - police reports	name, address, incident details, Criminal , Health	Records of police involvement in anti-social behaviour incidents	Electronic	5 years	Tenancy end date	Best practice / Prescription of claims

GROUP DOCUMENT RETENTION SCHEDULE

OP068	Recordings from Noise app	name, address perp. Recording, location, time, gps location	To investigate anti-social behaviour allegations	Electronic	5 years	Tenancy end date	Best practice / Prescription of claims
Legal / Court Action							
OP069	Notice of Proceedings	Name, address, rent details, record of contact from tenant	Legal action	Paper / electronic	5 years	Date of serving	Best practice / Prescription of claims
OP070	Court letters	Name, address, tenancy ref, rent details	Court action	Paper / electronic	5 years	Decision date	Best practice / Prescription of claims
OP071	Correspondence to \ from Solicitors	Name, address, rent details, relevant tenancy info	Court action/seeking advice	Electronic	5 years	Decision date	Best practice / Prescription of claims
OP072	Court Report	Name, address, tenancy ref, age, date of birth, gender, household composition, rent details, tenancy details, record of contact from tenant	Court action	Electronic	5 years	Tenancy end date	Best practice / Prescription of claims
OP073	Contact Report (CRM)	Name, record of contact from tenant	Court action	Electronic	5 years	Tenancy end date	Best practice / Prescription of claims

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OP074	Eviction Approval form	Name, address, household composition, age, rent details, relevant tenancy info	Eviction	Electronic	5 years	Tenancy end date	Best practice / Prescription of claims
OP075	Section 11s	Name, address, relevant court information	Notification of court proceedings	Electronic	5 years	Tenancy end date	Best practice / Prescription of claims
OP076	Eviction Case file	Name, address, tenancy details	Recover tenancy	Electronic	7 years	Date of last action	Best practice / Prescription of claims [NB: Solicitors will keep civil court case files for 10 years]
OP077	Abandonment Notices	Name, address	Evidence of abandonment	Electronic	7 years	Date of last action	Best practice / Prescription of claims
OP078	Correspondence to \ from Shelter	Name, address, rent details, relevant tenancy info, health	Court action	Paper / electronic	5 years	Tenancy end date	Best practice / Prescription of claims
MAPPA							
OP079	MAPPA Records	Name, address, criminal	Health & safety	Electronic	Nil	Tenancy end date	Best practice
HMO							
OP080	HMO licence	Property address, staff contact information	Licence to operate House in Multiple Occupation	Electronic	5 years	Date of expiry	Best practice / Prescription of claims

GROUP DOCUMENT RETENTION SCHEDULE

Parking Permits							
OP081	Request for Parking Permit Form	Name, Address, Email, Contact Number, Car Registration	To provide parking permit	Paper	5 years	Tenancy end date	Best practice / Prescription of claims
OP082	Correspondence with VCS	name, address, Car Registration	To provide parking permit	Electronic	Nil	Date of production	Best practice
Translation Services							
OP083	Translation Services request	Name, address, rent details, first language	Tenancy sustainment/sign up	Electronic	Nil	Date of request	Best practice
OP084	Interpretation Service from Language Line	Name, address, first language	Service delivery		Nil	Date of request	Best practice
Maintenance							
OP085	Mutual Exchange/Management Transfer	Name, address, contact numbers	Tenancy exchange	Paper/ Electronic	5 years	Tenancy end date	Best practice / Prescription of claims
OP086	Alteration/Improvement Request	Name, address, contact numbers	Improve Property	Paper/ Electronic	5 years	Tenancy end date	Best practice / Prescription of claims
OP087	Insurance Claims	Name, Address, Email, Contact Number, Tenure, Estimated Costs, Crime Ref No.	To notify Loss Adjuster of any incidents or formal claims to CHA properties	Electronic	5 years	Date of settlement	Best Practice

GROUP DOCUMENT RETENTION SCHEDULE

OP088	Work Orders	Name, address, contact numbers, Email, Joint Tenancy, Warning Alerts	Reactive & Void Maintenance Repairs	Electronic	5 years	Tenancy end date	Best practice / Prescription of claims
OP089	Gas Servicing Schedule / reports	Name, address, contact numbers	Annual Gas Servicing	Electronic	5 years	Tenancy end date	Best practice / Prescription of claims
OP090	Decanting records	Name, address, contact numbers	Temporary Accommodation	Electronic	5 years	Tenancy end date	Best practice / Prescription of claims
OP091	Inspection/Complaint File Notes	Name, Address, Email, Contact Number	Investigation Notes	Paper/ Electronic	5 years	Tenancy end date	Best practice / Prescription of claims

GROUP DOCUMENT RETENTION SCHEDULE

CARE AND REPAIR							
Ref.	Type of Information	Information held	Purpose for Processing	Formats	Retention Period	Retention Trigger (Start of Retention Period)	Retention Period Authority
Caledonia is the Processor for all personal data processed for Care & Repair, Perth & Kinross Council is the Data Controller							
Grant							
CR001	Referral form	Name, addresses, d.o.b, contact details, alternative contact details, Health	In order to complete an adaptation	Paper and Electronic	5 years	Date of last case action	Best practice / Prescription of claims
CR002	Application form	Name, addresses, d.o.b, contact details, alternative contact details, financial details	To gather relevant details on the client	Paper and Electronic	5 years	Date of last case action	Best practice / Prescription of claims
CR003	Corresponds with council	Name, address, reference number	For the work to start	Paper and Electronic	5 years	Date of last case action	Best practice / Prescription of claims
CR004	Corresponds with client	Name, address, reference number	To keep client informed	Paper and Electronic	5 years	Date of last case action	Best practice / Prescription of claims
CR005	Cost letter	Name, addresses, d.o.b, contact details,	Agreeing for the contractor to do the work	Paper and Electronic	5 years	Date of last case action	Best practice / Prescription of claims

GROUP DOCUMENT RETENTION SCHEDULE

CR006	Works order	Name, address, contact details	Initiate the work	Paper and Electronic	5 years	Date of last case action	Best practice / Prescription of claims
CR007	Invoice	Name, address, contact details	Pay the contractor	Paper and Electronic	7 years	Date received	VAT legislation (6 years)
CR008	Inspection form	Name, address, contact details	Confirm the work has been completed	Paper and Electronic	5 years	Date of last case action	Best practice / Prescription of claims
CR009	Statistical report	Name, address,	Reporting to the council on performance	Electronic	5 years	Date produced	Best practice / Prescription of claims
Small Repair							
CR010	Small repair form	Name address, income, vulnerable/at risk, Health	To advise what work is needed . Health required to ensure the applicant meets the qualifying criteria - not shared with contractor	Paper and Electronic	5 years	Date of last case action	Best practice / Prescription of claims

GROUP DOCUMENT RETENTION SCHEDULE

MARKETING & COMMUNICATIONS							
Ref.	Type of Information / record	Information held	Purpose for Processing	Formats	Retention Period	Retention Trigger (Start of Retention Period)	Retention Period Authority
MC001	Staff ID Photos (ID Badges)	Name, Image	To allow ID verification for visiting customers and confirm authorisation to be on office and other premises	Electronic	Nil	Date employment ceases	Best practice
MC002	Staff Photos - Intranet / Email / Office 365 etc	Name, Image	To allow staff to recognise each other from different office locations.	Electronic	Nil	Date employment ceases	Best practice
MC003	Marketing Photos (of tenants / staff / visitors etc)	Name, Image	To promote our services	Electronic / paper	2 years	Date taken	Best practice
MC004	Newsletter Distribution Lists - Post	Name, address	To distribute newsletter	Electronic	3 months	Date created	Best practice
MC005	Newsletter Distribution Lists - Email	Name email	To distribute newsletter	Electronic	3 months	Date created	Best practice
MC006	Newsletter distribution list - Special Needs	Name address / email	To distribute newsletter	Electronic	3 months	Date created	Best practice

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MC007	Social Media Messages	Name , online handles	to handle enquiry	Electronic	3 months	Date created	Best practice
MC008	Website Forms	name, email address		Electronic	3 months	Date created	Best practice
MC009	Quotes	Name, opinion	To promote our services	Electronic / paper	3 months	Date created	Best practice
MC010	Publications	Name, image	To promote our services	Electronic / paper	Dependent on historical / archive value	Date created	Best practice

GROUP DOCUMENT RETENTION SCHEDULE

FINANCE							
Ref.	Type of Information / record	Information held	Purpose for Processing	Formats	Retention Period	Retention Trigger (Start of Retention Period)	Retention Period Authority
FN001	Rent refunds	Name, Address, bank details	Provide refund	electronic/ paper	7 years	Date of refund	Finance legislation
FN002	Doubtful debt quarterly report	Name, Address, arrears balance of current tenants	calculate provision for bad debts	electronic	7 years	Date of production	Finance legislation
FN003	Supplier details	Suppliers name, address and bank details	To pay invoices	electronic	7 years	Date of last invoice	Finance legislation
FN004	Caledonia Staff Credit Cards	Staff members home address and dob	To pay for goods and services on behalf of the company	electronic	7 years	Date employment ceases	Finance legislation
FN005	Payroll	Employee bank details held on the Monthly Payroll Reports file (BACS submission prints)	To pay employees salary	electronic	7 years	Date of production	Finance legislation

GROUP DOCUMENT RETENTION SCHEDULE

GOVERNANCE							
Ref.	Type of Information / record	Information held	Purpose for Processing	Formats	Retention Period	Retention Trigger (Start of Retention Period)	Retention Period Authority
Information Governance							
GO001	Incident / Breach Investigation Cases	Name, Address, Contact details, opinions - potentially all special categories	Records of investigation notes, legal advice, outcome and actions. May be required for ICO evidence, legal representation and learning outcomes.	Electronic	5 years	Date of last action	Data protection compliance / Prescription of claims
GO002	Subject Access Request Register	Unique Ref, Name, Contact details	To keep an accurate record of SAR's received, track progress within legal timescales and record outcome	Electronic	5 years	Date of register entry	Data protection compliance / Prescription of claims
GO003	Subject Access Request Case Files	Unique Ref, name, Address, d.o.b, contact details, Financial details, opinions (potentially all categories held in all CHA records)	To keep a record of correspondence with the data subject, information provided, legal or regulatory advice and internal comms.	Electronic	5 years	Response date	Data protection compliance / Best practice

GROUP DOCUMENT RETENTION SCHEDULE

GO004	Freedom of Information Register	Unique Ref, Name	To keep an accurate record of FOI's received, track progress within legal timescales and record outcome	Electronic	5 years	Date of register entry	Data protection compliance / Best Practice
GO005	Freedom of Information Case Files	Unique Ref, name, Address, contact details	To keep a record of correspondence with the requestor , information provided, legal or regulatory advice and internal comms.	Electronic	3 years	Response date	Data protection compliance / Best practice
GO006	Third Party Disclosure Register	Data Subject name, Requester name, Requestor contact details	To keep accurate record of requests from third parties with reasons for disclosure/non-disclosure.	Electronic	5 years	Date of register entry	Data protection compliance / Best practice
GO007	Environmental Info Request Register	Name, Address, Contact details	To keep record of requests and to monitor progress with legislative timescales	Electronic	5 years	Date of register entry	Best practice
GO008	Environmental Info Request Case File	Name, Address, Contact details	to keep accurate record of correspondence with applicant and the information provided	Electronic	3 years	Date of last action / contact / response date	Best practice
Complaints Handling							

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GO009	Monthly Complaints performance report	Complaint ID, complainant Name & address, Opinions	To enable monitoring and statistical reporting on complaints handling performance	Electronic	5 years	Date of report production	Best practice / Prescription of claims
GO010	Complaint Feedback forms received	Name , address, telephone, email, opinions, age group, gender	To enable analysis of and reporting on customer feedback.	Paper / Electronic	5 years	Date of receipt	Best practice / Prescription of claims
GO011	Stage 2 complaints Case Files	Complainant name, contact details, opinions, investigation notes (including notes from customer contacts and discussions with team members)	To progress stage 2 complaints in line with SPSO requirements.	Paper / Electronic (now all recorded electronically)	5 years	Date of last action	Best practice / Prescription of claims
GO012	Compliments Register	Name, Address	To record compliments received	Electronic	5 years	Date of receipt	Best practice
Membership							
GO013	Membership Applications	Name, Address, Contact Details, DOB	To keep an accurate record of membership applications	Paper	5 years	Date of last contact	Best practice / Prescription of claims

GROUP DOCUMENT RETENTION SCHEDULE

GO014	Membership Register Full and Duplicate	Name, Address, Membership Number, Email	To keep an accurate record of membership	Paper/ Electronic	Permanent	Date of last entry	Co-operative and Community Benefit Societies Act 2014
GO015	Membership Register Abbreviated	Name, Membership Number	To keep an accurate record of membership	Paper/ Electronic	Permanent	Date of last entry	Co-operative and Community Benefit Societies Act 2014
GO016	Membership Equality Monitoring Forms (currently on reverse of Application Form)	Name, Membership Number, Age, Gender, DOB, Ethnic Origin, Disability, Occupation	Monitoring membership profile.	Paper / Electronic (now all recorded electronically)	Nil	Membership end date	Best practice
GO017	Membership Equality Monitoring Register	Name, DOB, Age, Occupation, Voluntary Experience or other Skills, Disability, Ethnic Origin	Monitoring membership profile.	Electronic	Nil	Membership end date	Best practice

GROUP DOCUMENT RETENTION SCHEDULE

GO018	Share Certificates	Name, DOB, Age, Occupation, Voluntary Experience or other Skills, Disability, Ethnic Origin	To keep an accurate record of membership applications	Electronic / paper	Permanent	Date issued	Best practice
Governance							
GO019	Employee / Board Declaration of Interest Forms	Name Close connections with staff in Group, if subject or close connection is a tenant, contractors, other RSLs staff, LA staff, positions of public responsibility, membership of other RSLs, appointments with private or plcs, directorships, significant shareholdings, ownership of land, Union Membership	To ensure staff and governing body members have no conflict of interests between their personal circumstances and the work of the Group.	Paper / Electronic (now all recorded electronically)	6 years	Employment / membership end date	Best practice / Prescription of claims / Rules

GROUP DOCUMENT RETENTION SCHEDULE

GO020	Declaration of Interest Register	Name, job title, Interests declared, outcome of consideration by line manager and details of actions taken to manage any conflict of interest	To ensure conflicts of interest are managed appropriately.	Electronic and paper (paper copies are signed by Chair)	10 years	Membership end date	Best practice / Prescription of claims / Rules
GO021	Management Board, Audit Committee and Remuneration Minutes (including confidential)	Names (for attendance apologies etc)	Ensuring effective governance arrangements in place	Electronic/ paper	Permanent	Date reported	Best practice / Rules
GO022	Management Board and Audit Committee Papers	Names	Ensuring effective governance arrangements in place	Electronic/ paper	10 years	Date issued	Best practice / Prescription of claims
GO023	Management Board Contact Details	Name, address, Email , telephone number, DOB	Ensuring effective governance arrangements in place	Electronic	Nil	Membership end date	Best Practice

GROUP DOCUMENT RETENTION SCHEDULE

GO024	Register of Office Bearers	Name, Position on Board, Date Elected, Date Elected as office Bearer (if applicable), Date left office	Ensuring effective governance arrangements in place	Electronic	Permanent	Date elected	Co-operative and Community Benefit Societies Act 2014
GO025	Payment and Benefits Register	Name of Beneficiary Relationship with Board/staff member or contractor/supplier	To ensure staff , Board members and their close relatives/friends do not benefit improperly from their connection to Caledonia HA	Electronic/ paper	10 years	Date of register entry	Membership end date
GO026	Gifts and Hospitality Register	Name, gift or hospitality received or declined.	To ensure staff and Board members do not benefit improperly from their position.	Electronic/ paper	10 years	Date of register entry	Best practice
Business Continuity							
GO027	Business Continuity Plan	names, addressess, telephone numbers	Required for contact details	Electronic / Paper	Nil	Date employment ceases	Best practice

GROUP DOCUMENT RETENTION SCHEDULE

GO028	Annual Return on the Charter (ARC) - Audit trail (copies of data / reports)	Names, addresses, tenancy details, rent account details, tenancy management information, Ethnic origin, disability status	Evidence to support figures reported in annual performance return	Electronic / paper	5 years	Date of ARC submission	Best practice
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GROUP DOCUMENT RETENTION SCHEDULE

PEOPLE							
Ref.	Type of Information / record	Information held	Purpose for Processing	Formats	Retention Period	Retention Trigger (Start of Retention Period)	Retention Period Authority
Recruitment							
HR001	Online Application Forms and Vacancy Filler applicant record	Name, Address, Telephone and email address, employment history, reference contact details, education & qualifications, memberships of professional bodies, PVG/Disclosure Information, Driving Licence, Relationship to Board Members, Employees or Tenants .	Assess suitability of applicants to the posts advertised	Electronic by default	6 months. Successful applicant documents transferred to personal file.	Date on which candidates are notified of the outcome of the recruitment process.	Best practice

GROUP DOCUMENT RETENTION SCHEDULE

HR002	Paper Application Forms and Vacancy Filler Applicant Record	Name, Address, Telephone and email address, employment history, reference contact details, education & qualifications, memberships of professional bodies, PVG/Disclosure Information, Driving Licence, Relationship to Board Members, Employees or Tenants .	Assess suitability of applicants to the posts advertised	Paper /Electronic - (if received in paper format, loaded to Vacancy Filler Portal)	6 months. Successful applicant documents transferred to personal file.	Date on which candidates are notified of the outcome of the recruitment process.	Best practice
HR003	Equality and Diversity Monitoring Forms	Race or ethnicity, religious beliefs, health and sexual orientation.	Promote a more diverse and inclusive organisation.	Electronic via Vacancy Filler Portal	6 months. Successful applicant documents transferred to personal file.	Date on which candidates are notified of the outcome of the recruitment process.	Best practice

GROUP DOCUMENT RETENTION SCHEDULE

HR004	Shortlisting Assessment Form	Name, position applied for, assessment of application form content against criteria,	Assess suitability of applicants to the posts advertised	Electronic by default	6 months. Successful applicant documents transferred to personal file.	Date on which candidates are notified of the outcome of the recruitment process.	Best practice
HR005	Interview Assessment Checklist	Name, position applied for, performance at interview, professional body membership.	Assess suitability of applicants to the posts advertised	Electronic by default	6 months. Successful applicant documents transferred to personal file.	Date on which candidates are notified of the outcome of the recruitment process.	Best practice
HR006	Interview Arrangements/ Regret Letters	Name, address, email address.	Recruitment of staff.	Electronic	6 months. Successful applicant documents transferred to personal file.	Date on which candidates are notified of the outcome of the recruitment process.	Best practice
HR007	Legal Right to Work in UK (for successful candidate)	Name, Verified copies of documents i.e. passport/birth certificate/driving licence, age, gender, ethnic origin, nationality	To ensure legal requirements met in relation to the employment staff	Paper/ Electronic	2 years	Date employment ceases	Best practice

GROUP DOCUMENT RETENTION SCHEDULE

HR008	PVG/ Disclosure check applications (for successful applicant only)	Name, address, date of birth, passport number, NI number, previous PVG membership number (if relevant), Verified copies of documents i.e. passport/birth certificate/driving licence, gender, ethnicity, marital status,	To ensure legal requirements met in relation to the employment staff	Paper/ electronic	Nil (unless they are relevant to the ongoing relationship)	Date of receipt	Best practice
HR009	Qualifications (for successful applicant only)	Name, details of qualification	To ensure legal requirements met in relation to the employment staff	Paper	6 years	Date employment ceases	Best practice

GROUP DOCUMENT RETENTION SCHEDULE

HR010	Employment References (applicants)	Name, job applied for	To check suitability of applicant to the role advertised.	Paper	6 months. Successful applicant documents transferred to personal file (and retained for six years following termination of employmnt)	Date on which candidates are notified of the outcome of the recruitment process.	Best practice
CONTRACTUAL DOCUMENTATION (NEW AND EXISTING EMPLOYEES)							
HR011	Interview Appointment Form	Name, position information	Recruitment of staff. Details reason for choosing the candidate	Paper	Nil	Date employment ceases	Best practice
HR012	Employment Changes Form	Name, Department, details of changes such as hours, location, also used for unpaid and bereavement leave	To ensure legal requirements met in relation to the employment staff + For audit purposes when changes are applied and to seek agreement from the staff member - this instructs a contract amendment	Paper	6 years	Date employment ceases	Best practice / Prescription of claims

GROUP DOCUMENT RETENTION SCHEDULE

HR013	Employment Contract	Name, Address, Job Title, Contractual Hours, Rate of Pay and other terms and conditions	To ensure legal requirements met in relation to the employment of staff	Electronic/ Paper	6 years	Date employment ceases	Best practice / Prescription of claims
HR014	Contract amendment letter	Name, Address, Job Title, Contractual Hours, Rate of Pay and other terms and conditions	To ensure legal requirements met in relation to the employment of staff	Electronic/ Paper	6 years	Date employment ceases	Best practice / Prescription of claims
HR015	New Employee Details Form	Name, Address, DoB, NI Number, Bank Account Details	To ensure legal requirements met in relation to the employment staff - to enable payment of salary	Paper	Nil	Date employment ceases	Best practice
HR016	Employment References (existing employees)	Name, job title, period of employment	To help existing staff seeking employment elsewhere	Paper	Nil	Date employment ceases	Best practice
HR017	PVG/ Disclosure checks - retrospective checks	Name, DoB, Address, PVG membership number, criminal convictions	To ensure legal requirements met in relation to the employment of staff	Paper	Nil (unless relevant to ongoing relationship)	Date employment ceases	Best practice

GROUP DOCUMENT RETENTION SCHEDULE

HR018	File notes, e-mail corresponds, evaluation forms and corresponds where employment references/ PVG identifies concern	Name, position applied form, file note of discussion with employee and/or referees, assessment of information and decision. Disability and/or Criminal Convictions (where applicable).	To ensure legal requirements met in relation to the employment of staff	Paper	6 years	Date employment ceases	Best practice
HR019	Emergency Contacts	Names, Address, Relationship, Tel Contact of emergency contact.	Information that can be used in emergency situations to contact and inform family or friends of the staff member where it is not possible for the staff member to do so.	Paper/Electronic	Nil	Date employment ceases	Best practice
HR020	Pension Scheme - Nomination of Benefits Form	Names, Address, Tel Contact of nominated benefactor	To enable pension funds and Death in service benefit to be paid as wished.	Paper	6 years	Date employment ceases	Best practice / Prescription of claims

GROUP DOCUMENT RETENTION SCHEDULE

HR021	Qualification Certificates /Details	Name, verified copy of certificate	To confirm the staff member is suitably qualified to undertake the role that they are employed to do. To enable registration with SSSC as appropriate	Paper/ Electronic	6 years	Date employment ceases	Best practice / Prescription of claims
HR022	Record for ID Badge	Image of employee, Name, , Position, Place of Work (employees, workers, volunteers and agency workers)	Required in order to provide identification for staff.	Paper/ Electronic	Nil	Date employment ceases	Best practice
HR023	Regulatory Body Membership	Name, Regulatory Body Membership (Category/Registrar Part / Number/ Expiry Date)	To confirm employee's suitability to work in specific roles that require regulatory membership.	Paper/ Electronic	6 years	Date employment ceases	Best practice / Prescription of claims
HR024	Declaration of Interest re relatives /connections	Name, Relatives/Connections' Name	To ensure there is no potential conflict of interest arising from employee's relatives and connections. SHR regulations.	Paper	Nil	Date employment ceases	Best practice

GROUP DOCUMENT RETENTION SCHEDULE

HR025	Flexible Working Request Forms and Responses	Name, Details of Request, Family Circumstances, Health, marital status	To verify reasons an employee wishes to seek a new work arrangement and clarify the requirement for a contract amendment.	Paper	6 years	Date employment ceases	Best practice / Prescription of claims
DURING EMPLOYMENT							
HR026	Self Certification Forms /Fit Notes	Name, Fit for Work Status, Medical reason for status, review date Potentially NINo and DoB, Health	To ensure payroll is accurate, correct entitlement to SSP/OSP, maintenance of an accurate sickness absence record.	Paper	Period of employment	Date employment ceases	Best practice / Prescription of claims
HR027	Return to Work Documents	Name, Job Title, Dates of Absence, Reason for Absence and other information relating to health. Health	To identify potential patterns of sickness, assess ongoing suitability of employee to carry out employment and to help assess if actions required to assist employee to maintain a suitable attendance record.	Paper/ Electronic	Period of employment	Date employment ceases	Best practice / Prescription of claims

GROUP DOCUMENT RETENTION SCHEDULE

HR028	Short Term Absence Meeting Notes	Name, Job Title, Dates of Absence, Reason for Absence and other information relating to health. Health	Ensure accurate record of sickness absence to help assess if actions required to assist employee to maintain a suitable attendance record.	Paper/ Electronic	Period of employmnt	Date employment ceases	Best practice / Prescription of claims
HR029	Annual Leave Information	Name, Annual Leave Entitlement,	Maintain accurate holiday records.	Paper/ Electronic	Period of employmnt	Date employment ceases	Best practice / Prescription of claims

GROUP DOCUMENT RETENTION SCHEDULE

HR030	Maternity	Name, Job Title, MATB1, Preferred Start Date for Maternity Leave, Expectant Mothers Risk Assessment, Letter confirming Maternity Leave arrangements, email correspondence with Manager/Employee and end of maternity leave arrangements, Return from Maternity Meeting & Plan	Meet legal obligations in respect to maternity, ensure health and safety of employee. Ensure correct entitlement to maternity pay and	Paper/ Electronic	Period of employmnt	Date employment ceases	Statutory Maternity Pay Regulations / Statutory Paternity Pay Regulations
HR031	Paternity	Name, Job Title, Parental Leave Dates and correspondence confirming arrangements.	Ensure correctentitlement to leave and pay and inform payroll of relevant payment.	Paper/ Electronic	Period of employmnt	Date employment ceases	Best practice / Prescription of claims
HR032	Health benefit details	Name, address, date of birth	Provision of correct benefit to employees.	Paper/ Electronic	Period of employmnt	Date employment ceases	Best practice / Prescription of claims

GROUP DOCUMENT RETENTION SCHEDULE

HR033	Death In Service Insurance	Name, address, date of birth, age	Provision of benefit to employees's beneficiaries.	Electronic	6 years (in the event of death of employee, retain until claim resolved)	Date employment ceases	Best practice / Prescription of claims
SICKNESS ABSENCE CASES							
HR034	Absence Review Meeting Notes	Name, Reasons for Absence, Numbers of Absence, details of absence discussion. Health	To identify potential patterns of sickness, assess ongoing suitability of employee to carry out employment and to help assess if actions required to assist employee to maintain a suitable attendance record.	Paper/ Electronic	6 years	Date employment ceases	Best practice / Prescription of claims
HR035	Absence Corresponds (HR/Manager)	Employee Name, Absence Start Date and Reason. Health	To identify potential patterns of sickness, assess ongoing suitability of employee to carry out employment and to help assess if actions required to assist employee to maintain a suitable attendance record.	Paper/ Electronic	6 years	Date employment ceases	Best practice / Prescription of claims

GROUP DOCUMENT RETENTION SCHEDULE

HR036	Absence Corresponds (HR/ Employee)	Employee Name, Absence Start Date and Reason/Circumstances. Health	To identify potential patterns of sickness, assess ongoing suitability of employee to carry out employment and to help assess if actions required to assist employee to maintain a suitable attendance record.	Paper/ Electronic	6 years	Date employment ceases	Best practice / Prescription of claims
HR037	File Notes, E-mail Corresponds	Employee Name, Absence Start Date and Reason/Circumstances. Health	To identify potential patterns of sickness, assess ongoing suitability of employee to carry out employment and to help assess if actions required to assist employee to maintain a suitable attendance record.	Paper/ Electronic	6 years	Date employment ceases	Best practice / Prescription of claims
HR038	Occupational Health Referrals	Name, Address, Contact Details, Date of Birth, Absence Reasons, Dates and Circumstances. Health	To identify potential patterns of sickness, assess ongoing suitability of employee to carry out employment and to help assess if actions required to assist employee to maintain a suitable attendance record.	Paper/ Electronic	6 years	Date employment ceases	Best practice / Prescription of claims

GROUP DOCUMENT RETENTION SCHEDULE

HR039	Occupational Health Reports	Name, Address, Contact Details, Date of Birth, Absence Reasons, Dates and Circumstances. Health	To identify potential patterns of sickness, assess ongoing suitability of employee to carry out employment and to help assess if actions required to assist employee to maintain a suitable attendance record.	Paper/ Electronic	6 years	Date employment ceases	Best practice / Prescription of claims
HR040	Capability Dismissal Documents	Name, Absence Reason , Absence Dates, circumstances, address, salary & payment. Health	To record the reasons for the dismissal to be able to defend a tribunal claim	Paper/ Electronic	6 years	Date employment ceases	Best practice / Prescription of claims
HR041	Absence Case Management Documents	Name, Absence Dates/Reasons. Health	To identify potential patterns of sickness, assess ongoing suitability of employee to carry out employment and to help assess if actions required to assist employee to maintain a suitable attendance record.	Paper/ Electronic	6 years	Date employment ceases	Best practice / Prescription of claims

GROUP DOCUMENT RETENTION SCHEDULE

HR042	Return to Work Documentation	Name, Absence Dates/Reasons. Health	To identify potential patterns of sickness, assess ongoing suitability of employee to carry out employment and to help assess if actions required to assist employee to maintain a suitable attendance record.	Paper/ Electronic	6 years	Date employment ceases	Best practice / Prescription of claims
HR043	Expired Fit Note Correspondence	Name, Address/Email Address/ Medical Certificate end date	To inform employee of their entitlements	Paper/ Electronic	6 years	Date employment ceases	Best practice / Prescription of claims
HR044	Payments During Absence if SSP/OSP expired	Name, Address / Email Address, Salary / Payment	To inform employee of their entitlements	Paper/ Electronic	6 years	Date employment ceases	Best practice / Prescription of claims
HR045	Absence monitoring reports	Name, Absence Dates, no of days absent. Health	To monitor sickness absence levels and identify potential patterns of sickness	Electronic	6 years	Date employment ceases	Best practice / Prescription of claims
EMPLOYEE RELATIONS CASES (CAPABILITY, GRIEVANCE)							

GROUP DOCUMENT RETENTION SCHEDULE

HR046	File Note, Meeting Notes and Outcomes of Issues Managed informally	Name, Job Title, Details of Issue and Outcome + ALL SPECIAL Categories	For the pursuance of employment policies and to be able to defend actions if challenged	Paper/ Electronic	2 years	Date issue resolved	Best practice / Prescription of claims
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GROUP DOCUMENT RETENTION SCHEDULE

HR047	Formal Investigation Documentation	Name, Job Title, Length of Service, Age (if relevant), allegations and evidence*, findings, conclusions and recommendations . ** evidence relating to customers redacted providing information but not names/addresses or other information to identify individual unless necessary to enable employee to defend allegations. + ALL SPECIAL	For the pursuance of employment policies and to be able to defend actions if challenged	Paper/ Electronic	6 years	Date of conclusion of process	Best practice / Prescription of claims
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GROUP DOCUMENT RETENTION SCHEDULE

HR048	Corresponds with Respondent Employee (informing of suspension, investigation and meeting invites)	Name, Address/Email Address/ Allegations/ Suspension where relevant, content of meeting notes and regulatory body requirements + ALL SPECIAL	For the pursuance of employment policies and to be able to defend actions if challenged	Paper/ Electronic	6 years	Date of conclusion of process	Best practice / Prescription of claims
HR049	Corresponds with employees participating in process as witnesses and meeting notes	Name, Address, Email Meeting arrangements, Content of Meeting Notes, and potnetially all special categories	For the pursuance of employment policies and to be able to defend actions if challenged	Paper/ Electronic	6 years	Date of conclusion of process	Best practice / Prescription of claims
HR050	Corresponds with Complainant Employee (informing of complaint, investigation and meeting invites)	Name, Address, Email, Meeting Arrangements, Nature of Complaint and NextSteps + ALL SPECIAL	For the pursuance of employment policies and to be able to defend actions if challenged	Paper/ Electronic	6 years	Date of conclusion of process	Best practice / Prescription of claims

GROUP DOCUMENT RETENTION SCHEDULE

HR051	Guidance to Manager	Employee Names, Complainant Names, Witness Names+ ALL SPECIAL	For the pursuance of employment policies and to be able to defend actions if challenged	Paper/ Electronic	6 years	Date of conclusion of process	Best practice / Prescription of claims
HR052	Informal Outcomes	Name, Meeting Note/Letter+ ALL SPECIAL	For the pursuance of employment policies and to be able to defend actions if challenged	Paper/ Electronic	6 years	Date issue resolved	Best practice / Prescription of claims
HR053	Formal Hearing Invites/Papers and Outcomes	Name, Address, Allegations, Investigation Documentation, Disciplinary Warnings and other outcomes+ ALL SPECIAL	For the pursuance of employment policies and to be able to defend actions if challenged	Paper/ Electronic	6 years	Date of conclusion of process	Best practice / Prescription of claims
HR054	Formal Appeal Hearing Invites/Papers and Outcomes	Name, Address, Allegations, Investigation Documentation, Disciplinary Warnings and other outcomes+ ALL SPECIAL	For the pursuance of employment policies and to be able to defend actions if challenged	Paper/ Electronic	6 years	Date of conclusion of process	Best practice / Prescription of claims

GROUP DOCUMENT RETENTION SCHEDULE

HR055	Employment Tribunal Claims/Notification of Potential Claims and related paperwork including COT 3 Agreements and/or Settlement Agreements	Name, Address, Date of Birth, Employment History, Salary, any information gathered during Employee Relations or absence Case Management, Settlement Agreement Details+ ALL SPECIAL	Employment law requirement	Paper/ Electronic	COT3 agreements and settlement agreements will be retained indefinitely. Related paperwork will be retained for six years	Date of resolution of claim	Best practice / Prescription of claims
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GROUP DOCUMENT RETENTION SCHEDULE

HR056	Regulatory Body Notifications (SSSC/NMC/Disclosure Scotland) Note: Notification required where employee works in a role requiring registration (including future requirement) or in a role assessed as requiring PVG Scheme Membership.	Name, Address, Date of Birth, Employment History, Salary, any information gathered during Employee Relations or absence Case Management.+ ALL SPECIAL	Legal requirement	Paper/ Electronic	Governed by regulatory body	Date issue resolved	Regulatory requirement
MANAGING CHANGE							

GROUP DOCUMENT RETENTION SCHEDULE

HR057	Information about affected employees	Name, Address, Date of Birth, Information about age Length of Service, Contratual Hours, job role, pay and other conditions, place of work and redundancy entitlements	To ensure legal requirements met in relation to to changing terms and conditions and potential redundancy	Electronic	6 years	From date on which change is effected	Best practice / Prescription of claims
HR058	Compulsory Redundancy Selection Pools and Assessment Criteria	Name, Job Title, Ratings against agreed criteria. Health	To ensure legal requirements met in relation to to changing terms and conditions and potential redundancy	Electronic	6 years	Date employment ceases	Best practice / Prescription of claims
HR059	Redundancy Outcome and Appeal Documents	Name, Address, Terms of Redundancy, Selection Criteria Scoring. Potentially age, Health and disability	To ensure legal requirements met in relation to to changing terms and conditions and potential redundancy	Paper/ Electronic	6 years	Date employment ceases	Best practice / Prescription of claims
HR060	Consultation Pack	Name, Address,	To ensure legal requirements met in relation to to changing terms and conditions and potential redundancy	Paper/ Electronic	6 years	Date employment ceases	Best practice / Prescription of claims

GROUP DOCUMENT RETENTION SCHEDULE

HR061	Meeting Notes and Outcome Letters	Name, Address	To ensure legal requirements met in relation to to changing terms and conditions and potential redundancy	Paper/ Electronic	6 years	Date employment ceases	Best practice / Prescription of claims
HR062	Redeployment Options Form and Monitoring Document	Name	To ensure legal requirements met in relation to to changing terms and conditions and potential redundancy	Paper/ Electronic	6 years	Date employment ceases	Best practice / Prescription of claims
HR063	Confirmation of Redundancy	Name, Address, pay	To ensure legal requirements met in relation to to changing terms and conditions and potential redundancy	Paper/ Electronic	6 years	Date employment ceases	Best practice / Prescription of claims
HR064	Confirmation of Redeployment	Name, Address, pay and terms and conditions	To ensure legal requirements met in relation to to changing terms and conditions and potential redundancy	Electronic	6 years	Date of redeployment	Best practice / Prescription of claims
HR065	Confirmation of variation to Terms and Conditions	Name, Address, pay and terms and conditions	To ensure legal requirements met in relation to to changing terms and conditions and potential redundancy	Paper/ Electronic	6 years	Date on which change is effected	Best practice / Prescription of claims

GROUP DOCUMENT RETENTION SCHEDULE

HR066	TUPE Due Dilligence Information	Name, Address, Equal Opportunities Monitoring Information, Terms and Conditions, Absence, Disciplinary, Grievance, Employment Record (Vacancy Filler), Job Role. All special categories	To ensure legal requirements met in relation to to changing terms and conditions and potential redundancy	Electronic	6 years	Date employment ceases	Best practice / Prescription of claims
HR067	TUPE Consultation Documents	Name, Address, Job Title, Meeting Content	To ensure legal requirements met in relation to to changing terms and conditions and potential redundancy	Paper/ Electronic	6 years	Date employment ceases	Best practice / Prescription of claims
HR068	Settlement agreements	Name, Address,details of monetary settlement and conditions of the agreement.	To ensure legal requirements met in relation to to changing terms and conditions and potential redundancy	Paper/ Electronic	6 years	Date employment ceases	Best practice / Prescription of claims
ENDING EMPLOYMENT							
HR069	Letter of Resignation/ Response	Name, Address	To confirm leaving details and any outstanding payments to be made.	Paper/ Electronic	6 years	Date employment ceases	Best practice / Prescription of claims

GROUP DOCUMENT RETENTION SCHEDULE

HR070	Dismissal Outcome	Name, Address, Reason for Dismissal and Payments+ ALL SPECIAL	To meet legal requirements re dismissal	Paper/ Electronic	6 years	Date employment ceases	Best practice / Prescription of claims
HR071	Exit Questionnaire	Name	To monitor employee feedback	Paper/ Electronic	Nil	date received	Best practice / Prescription of claims
HR072	Regulatory Body Referrals	Name, Date of Birth, NI Number, Address, Telephone, memberships number of regulatory bodies, Information about health/capability affecting fitness to practice and supporting evidence (medical reports, capability dismissal outcome letter, meeting notes etc).	To meet regulatory/legal requirements	Paper/ Electronic	6 years	Date employment ceases	Best practice / Prescription of claims
JANE SYSTEMS RECORDS							

GROUP DOCUMENT RETENTION SCHEDULE

HR073	Personal Information	Name, Address, NI Number, Emergency Contacts, Next of Kin, Driving Licence, Private Vehicle, Start Date, Date of Birth+ All special characteristics except union membership.	To maintain appropriate employee records in relation to the employment contract	Electronic	6 years	Date employment ceases	Best practice / Prescription of claims
HR074	Employment History	Position, Leaver Information, Reckonable Service, Discipline and Grievance Records, Terms and Conditions, Working Patterns, Hours of Work, Pay, Other Elements (Car Allowance, on-Call)	To maintain appropriate employee records in relation to the employment contract	Electronic	6 years	From end of employment	Best practice / Prescription of claims
HR075	Payroll	Pay History	To maintain appropriate employee records in relation to the employment contract	Electronic	6 years	From date employment ceased	HMRC guidance / Prescription of claims

GROUP DOCUMENT RETENTION SCHEDULE

HR076	Absence	<p>Holidays (Entitlement, Leave Taken, Balance, Adjustments i.e. for purchase, sell-back or carry-forward), Sickness Absence (Dates, Reason, Certification (plus scanned originals and meeting notes, occupational/statutory sick pay entitlement) Maternity (dates, pay entitlements), Paternity (dates, pay entitlement) Adoption (dates, pay entitlement) and other absence types (Dates, Type of Leave and whether paid or unpaid) Health</p>	To maintain appropriate employee records in relation to the employment contract	Electronic	6 years	From end of employment	Best practice / Prescription of claims
HR077	PVG/ Disclosure Monitoring	PVG/Disclosure Information PVG/ Disclosure Number, Date obtained, review date	To ensure legal checks are carried out and employees are not barred from particular employment	Electronic	Nil (unless relevant to the ongoing relationship)	Following renewal	PVG legislation

GROUP DOCUMENT RETENTION SCHEDULE

WORK MONITORING							
HR078	Payroll Memo	Name, employee number. Maternity/Paternity related absence/return to work. Absence related to ill-health. Information necessary to ensure correct payment.	Fulfilment of employment contract	Electronic	6 years	From end of financial year	Best practice / Prescription of claims
HR079	Employment Changes Form	Name	Fulfilment of employment contract	Electronic	6 years	From end of financial year	Best practice / Prescription of claims
HR080	Maternity/Paternity Leave Record	Name. Dates of Maternity/Paternity related absence	Legal requirement / fulfilment of employment contract. Retained in case of employment related proceedings	Electronic	3 years	From end of financial year	Statutory Maternity Pay Regulations / Statutory Paternity Pay Regulations
HR081	SSSC/NMC Membership Reports	Name, National Insurance Number	Fulfilment of employment contract	Electronic	6 years	From end of financial year	Best practice / Prescription of claims
HR082	FTC/ Secondments	Name	Fulfilment of employment contract	Electronic	Nil	From employment ceasing	Best practice
HR083	Overpayments	Name, Payroll Number, Salary	Fulfilment of employment contract	Electronic	6 years	From end of financial year	Best practice / Prescription of claims

GROUP DOCUMENT RETENTION SCHEDULE

HR084	Employee Relations Case Monitoring	Name, Job Role, Place of Work, Allegations, Disciplinary Outcome	Fulfilment of employment contract. Retained in case of employment related proceedings	Electronic	6 years	From date employment ceased	Best practice / Prescription of claims
HR085	Absence Case Monitoring	Name, Job Role, Place of Work, Absence Start Date, Absence Reason or Trigger Breach. Disability	Fulfilment of employment contract. Monitor and manage absenteeism. Retained in case of employment related proceedings	Electronic	6 years	From date of absence	Best practice / Prescription of claims
INVOICES							
HR086	Disclosure Scotland Invoices	Name	To ensure invoices are paid on time and monitor budgets	Electronic/ Paper	1 year	date received	Best practice / prescription of claims
HR087	OH Referral invoices	Name	To ensure invoices are paid on time and monitor budgets	paper	1 year	date received	Best practice / prescription of claims
HR088	Employment Lawyer Invoices	Name is not identified.	To ensure invoices are paid on time and monitor budgets	paper	1 year	date received	Best practice / prescription of claims
DRIVERS CHECKS							
HR089	Driving Documents	Name, DoB, Address, Driving Licence Number and copy of DL, Driving Endorsements	to meet health and safety legal obligation	Electronic/ Paper	1 year	From date of check	Best practice
Agency Workers Details							

GROUP DOCUMENT RETENTION SCHEDULE

HR090	Agency Workers Details	Agency Worker Names and payment details	To keep appropriate records of agency workers hired and the related agreements	Electronic	6 months	From date assignment ceases	Best practice
FORMER EMPLOYEES AND CASUAL WORKERS							
HR091	Vacancy Filler Records (as above)	All information referenced under Vacancy Filler Records Above. Religion, Nationality, Sexual Orientation, Ethnic Origin, Disability.	Manage recruitment process and monitor applicant characteristics	Electronic	9 months	From cessation of recruitment process	Best practice

GROUP DOCUMENT RETENTION SCHEDULE

HR092	Individual Personnel File	Recruitment Information, Contractual Documentation, Qualifications and Training, Absence Information, Disciplinary Warnings and Leaver Information. Religion, Nationality, Sexual Orientation, Ethnic Origin, Disability.	To ensure legal requirements met in relation to the employment staff	Electronic / Paper	6 years	From date employment ceased	Best practice / Prescription of claims
HR093	Absence Cases	All information referenced under Absence Case Management. Religion, Nationality, Sexual Orientation, Ethnic Origin, Disability.	Absence management. Retained in case of employment related proceedings	Electronic / Paper	6 years	From date employment ceased	Best practice / Prescription of claims

GROUP DOCUMENT RETENTION SCHEDULE

HR094	Employee Relations Cases	All information referenced under Employee Relations Case Management. Religion, Nationality, Sexual Orientation, Ethnic Origin, Disability.	For the pursuance of employment policies and to be able to defend actions if challenged	Electronic / Paper	6 years	From date employment ceased	Best practice / Prescription of claims
STANDARD REPORTS							
HR095	Monthly absence report	Name, Job Title, Place of Work, details of absences and absence reason. health, potentially disability	To monitor employee absence and for KPI reporting	Electronic	12 months	From end of financial year	Best practice / Prescription of claims
HR096	Salary report for annual pay increase	Name, Job title, Place of Work, Pay	Administer pay increases.	Electronic	12 months	From end of financial year	Best practice / Prescription of claims
HR097	Various reports from management information	Name, Job Title, Place of Work, qualifications and training. Health and ethnicity	Management, including statistical, reporting	Electronic	12 months	From date produced	Best practice
HEALTH & SAFETY							

GROUP DOCUMENT RETENTION SCHEDULE

HS001	Accident book	Name, Address	Legal Requirement	Paper / Electronic	3 years	Date logged /date of accident	H&S legislation / Prescription of claims (3 years)
HS002	Incident reports	Name, Address, Tenant Photographs	Legal Requirement	Paper / Electronic	5 years	Date completed	H&S legislation / Prescription of claims (3 years)
HS003	Incident Investigation Case File	Name, Address, Tenant Photographs	Legal Requirement	Paper / Electronic	5 years	Date of last action	H&S legislation / Prescription of claims (3 years)
HS004	Incident reports (involving children under 18)	Name, Address, Tenant Photographs	Legal Requirement	Paper / Electronic	25 years	Date completed	H&S legislation / Prescription of claims (until child is 18)
HS005	Incident Investigation Case File (involving children under 18)	Name, Address, Tenant Photographs	Legal Requirement	Paper / Electronic	25 years	Date of last action	H&S legislation / Prescription of claims (until child is 18)
HS006	Insurance Claims	Name, Address	Legal Requirement	Paper / Electronic	5 years	Date submitted	H&S legislation / Prescription of claims (3 years)

GROUP DOCUMENT RETENTION SCHEDULE

HS007	Insurance Claims (involving Children)	Name, Address	Legal Requirement	Paper / Electronic	25 years	Date submitted	H&S legislation / Prescription of claims (until child is 18)
HS008	RIDDOR Reports	Name, Address, Gender, Age, Occupation, Work Status	Legal Requirement	Paper / Electronic (HSE Website)	5 years	Date submitted	H&S legislation

GROUP DOCUMENT RETENTION SCHEDULE

PAYROLL							
Ref.	Type of Information / record	Information held	Purpose for Processing	Formats	Retention Period	Retention Trigger	Retention Period Authority
PY001	New employee details form	Name, address, home & mobile telephone number, d.o.b., bank account, NI number, job title, start date	HR input new employee details on to Jane Systems and payroll check this to ensure accuracy. Some of the information is required when determining which NI category should be applied (date of birth).	Paper / Electronic	period of employmnt - 6 years	Date employment ceases	Best practice per treatment of HR file
PY002	HMRC Starter Checklist	Name, address, d.o.b., NI Number, employment start date, employee statement	To determine tax code to be applied to ensure correct calculation of PAYE if P45 not yet available. Required for monthly HMRC reporting (FPS)	Paper / Electronic	period of employmnt - 6 years	Date employment ceases - then archived	Best practice per treatment of HR file
PY003	New employee P45	Name, NI number, tax code, leaving date (previous employer)	Notify HMRC of new employee information and to ensure correct PAYE calculation	Paper / electronic	period of employmnt - 6 years	Date employment ceases - then archived	Best practice per treatment of HR file

GROUP DOCUMENT RETENTION SCHEDULE

PY004	P6(T) - tax code notifications	Name, NI number, staff payroll number, tax code, total pay and tax from previous employment	To ensure correct PAYE calculation	electronic	period of employmnt - 6 years	Date employment ceases - then archived	Best practice per treatment of HR file
PY005	Earnings Arrestment Schedules	Name, address, creditor name and address, statement of debt	This is a Court order which requires the employer to calculate and make deductions each month until the debt is fully repaid	Paper / electronic	period of employmnt - 6 years	Date employment ceases - then archived	Best practice per treatment of HR file
PY006	Direct Earnings Attachments	Name, address,NI number, staff payroll number, total debt	To calculate and take monthly deductions from an employees salary when instructed to do so by the Department for Work and Pensions	Paper / electronic	period of employmnt - 6 years	Date employment ceases - then archived	Best practice per treatment of HR file
PY007	Union - rebanding letters	Name, address, contribution rates	To notify the employee of the increase in their subscription which is deducted monthly through payroll	Electronic	period of employmnt - 6 years	Date employment ceases - then archived	Best practice per treatment of HR file

GROUP DOCUMENT RETENTION SCHEDULE

PY008	Monthly payroll BACS processing file	Name, bank account sort code and account number, payment amount	To pay employees directly in to their nominated bank account. This file is uploaded to the bank online to save time and eliminate errors which are likely to arise if we were to input manually	Electronic	period of employmnt - 6 years	Date employment ceases - then archived	Best practice per treatment of HR file
PY009	Monthly payroll BACS submission print	As above plus staff payroll number	Used for bank authorisation purposes.	Electronic	period of employmnt - 6 years	Date employment ceases - then archived	Taxes Management Act 1970
PY010	Copy payslips	Name, address, staff payroll number, NI Number, NI Category, payment and deduction details, year to date pay details,tax code, net pay, union membership	Payslips are emailed and saved automatically	Electronic	period of employmnt - 6 years	Date employment ceases - then archived	Taxes Management Act 1970
PY011	Childcare vouchers schedule	Name, NI number, payroll number and deduction amount	Deduct correct amount requested by the employee and pay to Busy Bees monthly	Electronic	period of employmnt - 6 years	Date employment ceases - then archived	Best practice / Prescription of claims

GROUP DOCUMENT RETENTION SCHEDULE

<p>PY012</p>	<p>Pension automatic enrolment processing file</p>	<p>Name, address, payroll number, national insurance number, gender, d.o.b, date joined employer, date left employer, employee and employer contribution % and rates, gross pay in that period and gross annual pay</p>	<p>This is a requirement of the pension provider and is used to determine any new autoenrolled members to the pension scheme and enable the payroll officer to commence deductions.</p>	<p>Electronic</p>	<p>period of employmnt / 7 years</p>	<p>Cessation of benefit</p>	<p>CIPD recommends / English Law</p>
<p>PY013</p>	<p>Pension automatic enrolment results file</p>	<p>All of above plus eligibility status for the pension scheme</p>	<p>New members or opted out members are identified and this enables the payroll officer to either commence, stop or refund pension contributions if applicable</p>	<p>Electronic</p>	<p>period of employmnt / 7 years</p>	<p>Cessation of benefit</p>	<p>CIPD recommends / English Law</p>

GROUP DOCUMENT RETENTION SCHEDULE

<p>PY014</p>	<p>Pension contribution processing - Friends Life</p>	<p>Name, payroll number, contribution amounts</p>	<p>This file is required by the pension provider monthly to ensure the correct contributions are allocated to each members account and for the creation of the direct debit collection request</p>	<p>Electronic</p>	<p>period of employmnt / 7 years</p>	<p>Cessation of benefit</p>	<p>CIPD recommendation / English Law</p>
<p>PY015</p>	<p>Pension contribution processing - SHAPS</p>	<p>Pension membership number, name, payroll number, NI number, annual salary, employee, employer and AVC contribtutions detail, contractual hours</p>	<p>This file is required by the pension provider monthly to ensure the correct contributions are allocated to each members account and for the creation of the direct debit collection request</p>	<p>Electronic</p>	<p>period of employmnt / 7 years</p>	<p>Cessation of benefit</p>	<p>CIPD recommends / English Law</p>

GROUP DOCUMENT RETENTION SCHEDULE

PY016	SHAPS Employee amendments files	Pension membership number, Payroll number, name, D.o.b, NI Number, gender, marital status, address, home phone number, mobile number, email address, date joined organisation, SHAPS Grade reference, salary	Any amendments to employees information is notified to SHAPS by uploading this file to our account on their website	Electronic	period of employmnt / 7 years	Cessation of benefit	CIPD recommends / English Law
PY017	Scheme overtime forms	Name, designation, number of hours overtime and hourly rate	To notify payroll of any additional hours worked and authorised for payment	Paper	7 years	End of financial year to which they relate	Best practice / Prescription of claims
PY018	Expenses claim forms	Name and address	To notify payroll of any authorised expenses to be reimbursed to employees	Paper and electronic	7 years	End of financial year to which they relate	Best practice / Prescription of claims

GROUP DOCUMENT RETENTION SCHEDULE

PY019	Monthly payroll memo	Names and salary details of any new starts/contract amendments/changes to Pension contribution rates/unpaid leave/ leavers etc Could contain Union membership details	Notification from HR of any amendments which require to be made to employees salaries to ensure employees salary payment is accurate	Electronic	period of employmnt - 6 years	End of financial year to which they relate	Best practice per treatment of HR file
PY020	Leavers - P45's	Name, address, payroll number, NI number, date of birth, gender, tax code, leaving date, pay and tax balances to date	HMRC notification of leaver and record for leaver to pass to new employer	Electronic	period of employmnt - 6 years	Cessation of Employment	Best practice per treatment of HR file
PY021	Monthly payroll workbooks	Salary details, name, designation, sick leave dates, Union subscriptions	Calculations required for new starts, leavers, contract changes, wages arremstments, Direct Earnings attachments etc, sick pay to ensure salary payments are accurate	Electronic	6 years	End of financial year to which they relate	Best practice per treatment of HR file

GROUP DOCUMENT RETENTION SCHEDULE

PY022	HMRC Full Payment Submissions (FPS)	Name, address, NI number, D.O.B., gender, Pay, PAYE and NI details, Tax code.	Legal obligation to submit this file in .xml format every month on or before payday	Electronic	period of employmnt - 6 years	End of financial year to which they relate	Best practice per treatment of HR file
PY023	Common Cleaning - sick leave calculation	Name and number of hours sick leave, health	To calculate the amount due for sickness absence to be reallocated quarterly from the Homehelp Service to service charges	Electronic	6 years	End of financial year to which they relate	Best practice per treatment of HR file
PY024	Requests for information from external agencies eg DCC wages arrestments, HMRC, DWP etc	Name, reference no, address, NI number	Responding to requests for information eg Dundee City Council require confirmation that an employee is employed by us before they will issue earnings arrestment	Electronic	6 years	Date Employment ceases	Best practice per treatment of HR file
PY025	SSP1 Forms	Name, address, NI number, payroll number, health	We must issue these to any employees who are nearing being in receipt of 28 weeks SSP to enable them to apply for benefits	Electronic	6 years	Date Employment ceases	Best practice per treatment of HR file

GROUP DOCUMENT RETENTION SCHEDULE

PY026	Budget Monitoring reports (salaries)	Name, gross pay to date	To enable budget holders to accurately monitor their salary budget against actual costs	Electronic	6 months	End of financial year to which they relate	Best practice per treatment of HR file
PY027	Sickness absence costing reports	Name, salary, E'er Pension % and conts, dates of and number of days sick leave, health	To enable department Directors and Managers to monitor the cost of sickness which in turn assists with explaining any overspends in budget against actuals (additional resource requirement)	Electronic	6 years	End of financial year to which they relate	Best practice per treatment of HR file
PY028	Scheme Staff holiday pay calculation	Name, overtime paid in preceding 3 months	Calculation required to comply with EU Directive	Electronic	6 years	End of financial year to which they relate	Best practice per treatment of HR file

GROUP DOCUMENT RETENTION SCHEDULE

PY029	Year End - FTE Employees & Staff Turnover report	Name, employee reference, work location, designation, date started/left, department, gross pay, (also NI number, D.o.b and tax code on the Jane report required to obtain the information)	Audit requirement	Electronic	6 years	End of financial year to which they relate	Best practice per treatment of HR file
PY030	Year End - Directors Emoluments	Name, salary, E'er Pension, benefits	Audit requirement	Electronic	6 years	End of financial year to which they relate	Best practice per treatment of HR file
PY031	Year End - Gross Pay reconciliation to payroll reports	Employee reference, location worked, name, d.o.b, date started, date left, salary, NI number, NI details	Audit requirement	Electronic	6 years	End of financial year to which they relate	Best practice per treatment of HR file
PY032	Budget Reports - staff costs	Designation, Initials, salary, e'ers Pension %	Budget process	Electronic	6 years	End of financial year to which they relate	Best practice per treatment of HR file

GROUP DOCUMENT RETENTION SCHEDULE

PY033	Insurance Renewal working sheet staff salaries	Employee reference, designation, name, location worked, salary grade, salary, scale point, hours per week, pension %	Insurance provider requires total salaries costs for insurance cover. Detail however is only shared internally	Electronic	6 years	End of financial year to which they relate	Best practice per treatment of HR file
PY034	HMRC Furlough Claims	Name, Employee Reference, hours worked, NI number, salary	To claim salary costs for employees placed on Furlough during Covid. HMRC require detailed records of calculations to be retained	Electronic	6 years	End of financial year to which they relate	

GROUP DOCUMENT RETENTION SCHEDULE

STRATEGY & INNOVATION							
Ref.	Type of Information / record	Information held	Purpose for Processing	Formats	Retention Period	Retention Trigger (Start of Retention Period)	Retention Period Authority
S1001	Tenant database (excel spreadsheet)	Name, address, tenancy start date, correspondence address, first language, warnings and alerts relating to circumstances, health	Shared with external consultant for purpose of undertaking large scale tenant survey	Electronic - secure transfer method to be agreed.	Nil - disposed of when passed consultant	Date passed to consultant	Best practice / Prescription of claims
S1002	Online surveys	Name, address, email address, telephone number, opinions	To capture feedback and gauge satisfaction with services - personal data provided optionally	Electronic (Online)	Nil	Survey closing date	Best practice
Office							
S1003	Connect registrations & Submissions	Name, email address, disability	update information on Connect users and use of self service portal	electronic	Nil	End of app registration	Best practice
S1004	ToE information for marketing & comms strategy	Name, address, email, mob phone	contact and voting activity for transfer	electronic	6 weeks	ballot date	Best practice

GROUP DOCUMENT RETENTION SCHEDULE

SUPPORT SERVICES							
Ref.	Type of Information / record	Information held	Purpose for Processing	Formats	Retention Period	Retention Trigger (Start of Retention Period)	Retention Period Authority
SS001	Care and support plans - current tenants / residents	Name, address, DOB, email, phone numbers , communication needs, health, medical information	To provide appropriate support that allows the individual to manage and maintain their tenancy	Paper, electronic	8 year since last care / 3 years from date of death	Date of signing	Regulatory / Best practice
SS002	Personal Information / Emergency contact information	Name, address, DOB, email, phone numbers of NOK etc	To provide relevant information in the case of an emergency	Paper. Electronic	nil - 6 months	Tenancy / occupancy end date	Best practice / Prescription of claims
SS003	Mandate of Authority	Name Address, DOB, NOK Name, Address, Contact numbers details of consent to share / act on behalf of the tenant	to identify who can / should be able to act on behalf of the tenant	Paper. Electronic	5 years / 3 years if death	Tenancy / occupancy end date	Best practice / Prescription of claims

GROUP DOCUMENT RETENTION SCHEDULE

SS004	Contact notes	Name, address, contact or actions relating to the tenant - e.g calling GP,	To provide record of appropriate support that allows the individual to manage and maintain their tenancy	paper	5 years / 3 years if death	Tenancy / occupancy end date	Best practice / Prescription of claims
SS005	Residency agreement - care home	Name, address, DOB, email, phone numbers of NOK etc, communication needs, health, medical information	To provide appropriate support that allows the individual to manage and maintain their tenancy	Paper. Electronic	5 years / 3 years if death	Residency end date	Best practice / Prescription of claims
SS006	Home Help customer agreement	Name, address, DOB, email, phone numbers , contact details, NOK contact, POA details, communication needs, health, medical information, access arrangements, keyholders	To provide information on customers in order to provide a Home Help service to them	Paper. Electronic	5 years	5 years	Agreement end date

GROUP DOCUMENT RETENTION SCHEDULE

SS007	Support Plans - HOPE Project	Name, address, DOB, email, phone numbers , communication needs, health and medical information	To provide appropriate support that allows the individual to manage and maintain their health and well being in the community	Paper. Electronic	5 years	Service use end date	Best practice / Prescription of claims
SS008	Volunteer & Befriending Project	Name, address email, phone numbers NOK, some health information	To record information about volunteers who support activities at our schemes and in the community	Paper. Electronic	1 year	Agreement end date	Best practice / Prescription of claims
SS009	BR24 / Com Alarm data	Name address, DOB, NOK emergency contact information, health and communication needs, NOK contact information and who and when to contact	To provide an appropriate response in an emergency situation	Paper, electronic	5 years / 3 years if death	Tenancy / occupancy end date	Best practice / Prescription of claims
SS010	Service user information - car & support services	Name, Address, DOB, date of tenancy / residency	to confirm to contracts Team who is being supported as they carry out financil assessment for individuals contributions	Electronic / paper	5 years / 3 years if death	Current service users - confirm EOT info	Best practice / Prescription of claims

GROUP DOCUMENT RETENTION SCHEDULE

SS011	Guest room booking form	Name address, contact number, details of room booking / dates	to provide details of room use	paper	1 year	Date of receipt	Best practice
SS012	VSH / HWC waiting list - DCC area only	Name, address, DOB, contact information, communication needs, health, medical information	to understand needs of individual to assess and deliver appropriate care and support	paper / electronic	1 month	Date provided	Best practice
SS013	VSH Assessment by Registered or Scheme Manager PKC only	Name Address, DOB, NOK Name, Address, Contact numbers details of consent to share / act on behalf of the tenant, contact information, communication needs, health, medical information	to ensure all risks are identified, service can meet the needs of the potential tenant and the accuracy of initial risk assessment and support plan	paper / electronic	5 years / 3 years if death	Date of last entry	Best practice