

**Calvey Housing Association - Document Retention Schedule**

<b>Governance &amp; Corporate Documents</b>				
<b>Information Collected or Held</b>	<b>Location</b>	<b>Purpose Collected or Held</b>	<b>Statutory Retention Period</b>	<b>Period Retained</b>
Letter of charitable registration	Hard copy in Director's Room. Stored electronically	Statutory requirement	No specific statutory retention period. NFHA best practice - permanently	Permanently
Letter re charitable status	Hard copy in Director's Room and Stored electronically	Tax purposes	No specific statutory retention period. NFHA best practice - permanently	Permanently
Registration documents	FCA Mutuals Public Register - online	Statutory requirement	No specific statutory retention period. NFHA best practice - permanently	Permanently
Certificate of employer's liability insurance	Current version displayed in reception. Previous versions stored electronically and original hard-copy in Board Room cupboard	The Employers Liability (Compulsory Insurance) Act came into force on 1 <sup>st</sup> January 1999. Authorised inspectors have the power to require employers to provide them with a copy of both current and past certificates.	40 years	Permanently
Minutes of Board meetings	Stored electronically on network and available on the Association's website (from November 2019) Signed hard copies in locked cupboard in Director's room	Record of Board meetings	No specific statutory retention period. NFHA best practice - permanently	Permanently

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Annual returns to SHR	Stored electronically and on the SHR electronic portal	To meet SHR requirements. Record of information submitted to SHR.	No specific statutory retention period. NFHA best practice – 5 years	5 years
Annual returns to SHR – working papers	Director’s Office	Record of workings for annual returns	No specific statutory retention period. NFHA best practice -3 years	3 years
Audited returns and financial statements	Stored electronically	Record of Association’s financial management position	No specific statutory retention period. NFHA best practice - permanently	Permanently
Declaration of interest	In Director’s Office	Record of staff and Board members declarations of interest	No specific statutory retention period. NFHA best practice – 6 years	6 years
Register of Seals	In a locked drawer at Finance Consultant’s desk cupboard in the main office.	Record of use of seal	No specific statutory retention period. NFHA best practice - permanently	Permanently
Register of Share Certificates	Stored electronically	Record of Share certificates issued and cancelled	No specific statutory retention period. NFHA best practice - permanently	Permanently
Register of Members	Stored electronically	Record of Members and ex Members	Registrar of Friendly Societies - permanently	Permanently
Board members names, addresses, dates of birth and code of conduct	Stored electronically Signed Codes of Conduct stored in locked cupboard in Director’s room.	Regulatory requirement	No specific statutory retention period.	1 year after Board membership ceases
Benefits to staff and Board members	Paper file in Board Room cupboard	Regulatory requirement	Permanently	Permanently
Complaints to the association and the SPSO	Stored electronically on SDM Complaints Module	To monitor and record complaints	No specific statutory retention period.	6 years

<b>HR Documents</b>				
<b>Information Collected or Held</b>	<b>Location</b>	<b>Purpose Collected or Held</b>	<b>Statutory Retention Period</b>	<b>Period Retained</b>
Staff members personnel records (including disciplinary records and working time records)	Locked drawer stock room Locked drawer at Finance Officer's desk	Details of employment, contact details, next of kin etc. for efficiency of organisation	No specific statutory retention period. CIPD best practice – 6 years after the employment ceases	6 years after the employment ceases
Staff training/development records	Stored electronically	To record staff members training and development	No specific statutory retention period. CIPD best practice – 6 years after the employment ceases	6 years after the employment ceases
Staff sickness records	Paper files in photocopier room and / or Finance Officer's desk	To calculate entitlement to sickness allowance. To provide referrals to occupational health and/or GP	No specific statutory retention period. CIPD best practice – 6 years after the employment ceases	6 years after the employment ceases
Short lists, interview notes and related application forms for unsuccessful candidates	Hard copies in locked cabinet in stock room.	To provide details for equalities monitoring. To assist in the case of dispute of an application.	No specific statutory retention period. CIPD best practice 6 -12 months after the recruitment process is completed	6 months for non short-listed candidates and 12 months for short-listed candidates after recruitment process completed.
Disclosure Scotland Records	locked cabinet in stock room (with personnel records)	To comply with legislation where staff are routinely working with vulnerable people on a one to one basis	Employment legislation and Disclosure Scotland guidelines	Paper copy retained for 6 months then destroyed.

<b>Health &amp; Safety Documents</b>				
<b>Information Collected or Held</b>	<b>Location</b>	<b>Purpose Collected or Held</b>	<b>Statutory Retention Period</b>	<b>Period Retained</b>
Accident records and reports/Near Miss Reports	Individual pages from accident book/Near Miss Reports stored securely in Director's room	To record health and safety incidents and any action required	No specific statutory retention period. NFHA best practice – 6 years after date of occurrence	6 years after date of occurrence
<b>Finance Documents – Employees</b>				
<b>Information Collected or Held</b>	<b>Location</b>	<b>Purpose Collected or Held</b>	<b>Statutory Retention Period</b>	<b>Period Retained</b>
Record of taxable payments	Sage Payroll	Inland Revenue requirement	Inland revenue require retention for 6 years	6 years
Record of earnings on which NI contributions are payable	Sage Payroll	Inland Revenue requirement	Inland revenue require retention for 6 years	6 years
Copies of notices to employees (P45, P60)	Sage Payroll	Inland Revenue requirement	Inland revenue require retention for 6 years	6 years
Inland Revenue notices of code changes, pay and tax details	Sage Payroll	Inland Revenue requirement	Inland revenue require retention for 6 years	6 years
Expense claims	Sage Payroll	Inland Revenue requirement/budgetary control	Inland revenue require retention for 6 years	6 years
Record of sickness payments	Sage Payroll	Inland Revenue requirement	Inland revenue require retention of each payment for 3 years	3 years
Record of maternity payments	Sage Payroll	Inland Revenue requirement	Inland revenue require retention of each payment for 3 years	3 years
Redundancy details and record of payments and refunds	Paper personnel files in locked cabinet in stock room	Legal and Inland Revenue requirement	Inland revenue require retention for 6 years	12 years from date of redundancy

<b>Finance Documents - Accounting</b>				
<b>Information Collected or Held</b>	<b>Location</b>	<b>Purpose Collected or Held</b>	<b>Statutory Retention Period</b>	<b>Period Retained</b>
Suppliers invoices, orders and delivery notes and credit notes	Paper files. Current year in Board Room. Previous years in (remote) store.	Auditing purposes and budget control	6 years	6 years - Paper shredded.
Bank statements and pay in books	Paper originals of Bank Statements are stored for one year in Board Room months & then stored.  Pay in books are stored in lockable cabinets & retained for 6 years.	Auditing purposes and budget control	6 years	6 years
VAT returns	In invoice files in lockable cupboard in board room	Legal and Inland Revenue requirement	Inland revenue require retention for 6 years	6 years
Books of prime entry e.g. cash book, ledgers, petty cash records	Cash Books – Excel  Ledgers – SDM  Petty Cash Control Records  Petty Cash paper receipts are stored in lever arch files & retained for 6 years.	Legal and Inland Revenue requirement	Inland revenue require retention for 6 years	6 years

<b>Finance Documents - Accounting</b>				
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Cash received records	Stored in locked cupboard	Legal and Inland Revenue requirement	Inland revenue require retention for 6 years	6 years
Annual accounts	Stored electronically and on Association's website	Legal and Inland Revenue requirement	Inland revenue require retention for 6 years	6 years
<b>Housing Management Documents</b>				
<b>Information Collected or Held</b>	<b>Location</b>	<b>Purpose Collected or Held</b>	<b>Statutory Retention Period</b>	<b>Period Retained</b>
Current and former tenant files (except for tenancy agreements and details of their leaving)	SDM Paper files in photocopying room	Details relating to tenancy including details of any complaints	No statutory retention period. NFHA recommendation is for period of tenancy	5 years on SDM after tenancy ends
Former tenant's tenancy agreements and details of their leaving	Archive files	Details relating to former tenancy agreement	No Statutory retention period. NFHA recommendation – permanently	5 years archive files
<b>Information Collected or Held</b>	<b>Location</b>	<b>Purpose Collected or Held</b>	<b>Statutory Retention Period</b>	<b>Period Retained</b>
Rejected/cancelled housing list application forms	Stored electronically on CHR. Hard copy immediately destroyed	For assessment of housing circumstances/priority and for applicant to verify at point of offer	No Statutory retention period. Best practice is to destroy/delete on annual review or applicant request	All cancelled or rejected applications to be deleted annually
Tenant rent arrears/court action	Stored on SDM	For reference and entitlement checks	No statutory retention period	5 years on after tenancy ends SDM

<b>Housing Management Documents</b>				
Anti social complaints records	Stored on SDM	Details relating to anti social complaints	No statutory retention period NFHA recommends in general, for the length of the tenancy up to 6 years post tenancy.	5 years after tenancy ends
Right to Buy applications and information	Stored electronically.	Details relating to Right to Buy applications	No statutory retention period	Permanently
Leases (for supported projects)	In locked drawer at Finance Consultant's desk and electronically.	Sets out respective responsibilities. Hard copy kept for signatures	No statutory retention Period. NFHA best practice 15 years after expiry	15 years after expiry
<b>Property Services and Repairs Documents</b>				
<b>Information Collected or Held</b>	<b>Location</b>	<b>Purpose Collected or Held</b>	<b>Statutory Retention Period</b>	<b>Period Retained</b>
Development documentation	Hard copy in files in Director's Office	Details of developments within the Association's programme	NFHA best practice 12 years after settlement of all issues	12 years
Tender documentation	Locked cupboard	To support management of contracts	NFHA best practice 6 years after end of contract	6 years after end of contract
Fire Risk Assessments	Calvary Centre and Offices in files in Director's Office	Health & Safety legislation	No specific statutory retention period best practice is 3 years	3 years

<b>Property Services and Repairs Documents</b>				
Statutory permissions relating to development	Depending on project, either stored electronically or at external storage site.	For reference and any queries	No specific statutory retention period	Permanently
Planning building warrants	Depending on project, either stored electronically or at external storage site.	For reference and any queries	No specific statutory retention period	Permanently
Roads consents	Depending on project, either stored electronically or at external storage site.	For reference and any queries	No specific statutory retention period	Permanently
Scottish Water approvals	Depending on project, either stored electronically or at external storage site.	For reference and any queries	No specific statutory retention period	Permanently
Site investigation information	Depending on project, either stored electronically or at external storage site.	For reference and any queries	No specific statutory retention period	Permanently
O&M manuals for development	Files in Director's Office	For reference and any queries	No specific statutory retention period	Permanently
As built drawings	Files in Director's Office	For reference and any queries	No specific statutory retention period	Permanently
Legal documentation for acquisitions	Association's Solicitor	For reference and any queries	No specific statutory retention period	Permanently
Grant funding offers in relation to development and acquisitions	Online HARP (Housing and Regeneration Programmes)	For reference and any queries	No specific statutory retention period	Permanently
Title Deeds	With Solicitors	For reference and any queries	No specific statutory retention period	Permanently
<b>Community Regeneration Documents</b>				
Grant funding offers in relation to community regeneration projects	Stored electronically.	For reference and any queries	Each funder specifies its own retention period	6 years after end of contract