

SBHA's Retention Schedule

<u>Type of Record</u>	<u>Retention Period</u>	<u>Contains Personal Data?</u>	<u>Comments</u>	<u>Format</u>	<u>Responsibility for Retention/Disposal</u>
Corporate Documentation					
Companies House Certificates, Registrations etc (inc OSCR)	Permanent	No		Paper and Electronic	Secretary
Rules of the Association	Permanent	No		Electronic	Secretary
Shareholding Register	Permanent	Yes	Records required to be retained permanently to comply with the Co-operative and Community Benefit Societies Act 2014	Paper and Electronic	Secretary
Shareholder Certificates	For Duration of Membership plus 6 years	Yes	Records required to be retained permanently to comply with the Co-operative and Community Benefit Societies Act 2014	Paper	Secretary
Shareholder Equalities Data	For duration of Membership	Yes - special	Stored separately from Shareholding Register (Hard copy forms disposed of)	Electronic	Corporate Manager
Register of Office Bearers	Permanent	Yes	Records required to be retained permanently to comply with the Co-operative and Community Benefit Societies Act 2014	Paper and Electronic	Secretary
Seal Register	Permanent	No	Required under SBHA's Rules (63)	Paper	Secretary
Register of Governance Members	Permanent	Yes	Maintains record of Board Membership over time - only names and dates of office recorded	Electronic	Corporate Manager
Governance Member Documents (Declarations of Interest, Applications, Appraisals etc)	6 years after term of ends	Yes	This data required for ARC return - signed hard copies kept as evidence if required	Electronic (signed declarations of interest forms also retained in paper copy)	Corporate Manager

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Governance Member Documents (Equalities Data)	For 1 year after term of office ends	Yes - special	May be needed for reporting and/or evidencing reporting	Electronic	Corporate Manager
Governance Member Documents (Bank Details)	For term of office only	Yes	Only retain temporarily if any expenses claims are outstanding at end of term of office	Electronic	Finance Manager
AGM Documentation (inc notice of meeting, minutes & attendance)	Permanent	Yes	To evidence AGM compliance. Sign in sheet of Shareholders will be deleted after 6 years. Signed minutes retained as paper copy	Electronic (signed minutes additionally as paper copy)	Secretary
AGM Documentation (election paperwork, inc ballot papers)	2 years after date of AGM	Yes	To evidence compliance with the Rules	Electronic	Secretary
Governance Committees Minutes	Permanent	Yes	Signed hard copy retained permanently as required under SBHA's Rules (62)	Paper and Electronic	Secretary
Governance Committees Reports	Permanent	No (except those containing Shareholder applications)	Electronic copy kept permanently Paper copy to be kept for 3 years (individual reports may be kept for longer in hard copy if deemed necessary)	Electronic	Secretary
Insurance Documents					
Insurance Policies, Certificates and Schedules	Permanent	No		Electronic	Corporate Manager
Claims and associated Documentation	6 Years after date of claim	Yes - potentially special	May be stored longer if there is a court case/potential court case associated with the claim, or a high risk third party claim (including injury)	Electronic	Corporate Manager

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HR					
Job Application Documents (inc Application Form, Equal Opportunities Form, Interview Notes etc)	1 year for unsuccessful candidates (unless appealed)	Yes - special & criminal convictions	For successful candidates, records are transferred to personnel file and retention period for that applies Unsuccessful candidate records retained in case of appeal	Paper and Electronic	HR Coordinator
Personnel File (inc application form, training records, attendance record, appraisals etc)	6 years after end of employment	Yes	Would also include redundancy details if relevant May be stored longer if there is an associated court case/potential court case	Paper and Electronic	HR Coordinator
Disciplinary Records	6 years after end of employment	Yes - potentially special	May be stored longer if there is an associated court case/potential court case	Paper and Electronic	HR Coordinator
Parental Leave Records	18 years from birth of child	Yes	Only DoB of child, name of employee, and dates of leave retained - this is to evidence duration of entitled leave taken if required	Electronic	HR Coordinator
Disclosure Scotland Check	6 years after end of employment	Yes - potentially criminal convictions		Paper	HR Coordinator
PVG Certificates	6 years after end of employment	Yes - potentially criminal convictions		Paper	HR Coordinator
Accident Books	6 years after date of last entry	Yes - potentially special	May be stored longer if there is an associated court case/potential court case	Paper	HR Coordinator
Accident/Incidents and Near Miss Forms etc	6 years after date of incident	Yes - potentially special	May be stored longer if there is an associated court case/potential court case	Paper	HR Coordinator

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Applications and Tenancies					
Application Form (inc Health Assessment Form)	12 months from cancellation	Yes - special	Limit for appeal is 6 months. For successful applicants, records are transferred to tenancy file and retention period for that applies.	Electronic	Customer Service Manager
Tenancy File	6 years after tenancy terminates	Yes - special	Exceptions are below. Where an amount is outstanding on a rent or other account, or there are associated court actions, this information may be retained for longer	Electronic	Neighbourhood Services Manager
Tenancy Agreement	6 years after tenancy terminates	Yes	Signed hard copy retained as is legal document	Paper and Electronic	Neighbourhood Services Manager
Getting to Know you Survey	For 1 year after tenancy ends	Yes - special		Electronic	Neighbourhood Services Manager
Documentation, correspondence and information provided by other agencies relating to special needs of current tenants	Until end of tenancy	Yes - special	Information held on 'need to know' basis. Medical and Social Services records liable to be confidential as required in data sharing protocols. To be returned or passed to subsequent agency at end of tenancy as per data sharing protocols, or destroyed. Keep for longer...	Electronic	Customer Service Manager
Records relating to offenders, ex-offenders and persons subject to cautions	Until end of tenancy	Yes - criminal record	Information held on 'need to know' basis. Police sourced records may be confidential. To be dealt with as required by police	Electronic	Customer Service Manager

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Records relating to MARAC cases	Reviewed on a 12 month cycle via MARAC Co-ordinator in line with MARAC Framework	Yes - special	MARAC inform SBHA when to remove the records	Electronic	Neighbourhood Services Manager
Housing Benefit/Universal Credit Notifications	6 years after tenancy terminates	Yes	Paper copies received - scanned on return to relevant tenant account	Electronic	Neighbourhood Services Manager
Rent Statements (6 monthly)/Rent increase letter	1 year after date of letter	Yes	Electronic copies kept for 1 year after date of issue to provide evidence that document was sent	Electronic	Neighbourhood Services Manager
NOP	7 months from date of issue (paper), then electronic as part of tenancy file	Yes	Paper copy kept as is a legal document and is live for 6 months after initial 4 week period. Once period has ended, paper copy is destroyed, and electronic copy forms part of tenancy file.	Paper (and Electronic)	Neighbourhood Services Manager
Decrees	1 year from date of issue (paper), then electronic as part of tenancy file	Yes	Paper copy kept as is a legal document and is live for 1 year. Once period has ended, paper copy is destroyed, and electronic copy forms part of tenancy file.	Paper (and Electronic)	Neighbourhood Services Manager
Complaints and ASB Documentation					
Complaint/ASB summaries and actions	6 years after tenancy terminates	Yes - potentially special	May be kept longer if any court case/potential court case is associated with case	Electronic	Customer Service Manager
Complaint/ASB Documentation	6 years from date received	Yes - potentially special	Exceptions to this are below. May be kept longer if any court case/potential court case is associated with case	Electronic	Customer Service Manager
ASB incident diaries	6 years from date of final entry	Yes - potentially special	Hard copy retained as is signed. May be kept longer if any court case/potential court case is associated with case	Paper and Electronic	Customer Service Manager
CRM Only Contacts & Factoring					
CRM Only contact records	6 years after last contact	Yes	Retained as CRM contact records	Electronic	Customer Service Manager

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Factoring records	6 years after service ends	Yes	Retained on spreadsheet	Electronic	Neighbourhood Services Manager

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Finance & Payroll					
Audited Annual Accounts and Financial Statements	Permanent	Yes		Paper and Electronic	Finance Manager
Income and Expenditure Transactions and Correspondence	Current year plus 6 previous	Yes	Required for VAT calculation - retention is per HMRC requirements	Paper	Finance Manager
Payroll records, inc time sheets, tax records, salary and expenses records, maternity/maternity pay, sick pay etc	Current year plus 6 previous	Yes		Paper	Finance Manager
Assets and Property Services Documents					
Planned Contracts Documentation	6 Years after completion of work	Yes	Inc tender reports etc. Will also include lists of tenants details involved in the works programme	Electronic	Head of Asset Planning & Development
SHQS/ESSH disclaimer paperwork	At end of next financial year after disclaimer ends	Yes	Will only contain name, address and signature. Retention required to evidence compliance.	Electronic	Head of Asset Planning & Development
Housing Association Grant documentation	Permanent	No		Electronic	Head of Asset Planning & Development
Property Related Plans and Drawings	Permanent	No		Electronic	Head of Asset Planning & Development
Register of Disposal of Assets	Permanent	Yes	Will contain details of person to whom land is sold. Permanent retention is legal requirement.	Electronic	Head of Asset Planning & Development
Wayleaves, licences and easements	Permanent	No		Electronic	Head of Asset Planning & Development
Planning and building control permissions	Permanent	No		Electronic	Head of Asset Planning & Development

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Property Repairs History	Permanent	Yes	Repair lines need to be retained as part of property records. Although they contain personal data, this is not identifiable personal data (e.g. phone number only)	Electronic	Head of Asset Planning & Development
Adaptation Request Forms	At end of next financial year after adaptation completed	Yes	Completed forms contain tenant details and details on adaptation only - no medical data. Retention required to evidence compliance.	Electronic	Head of Asset Planning & Development
Adaptation Details	At end of next financial year after adaptation completed	Yes	Tenant details provided in summary document from Eildon Care & Repair. Retention required to evidence compliance.	Electronic	Head of Asset Planning & Development