

Pentland Housing Group

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Electronic Storage	N:\PHG\Policies Procedures Protocols etc\2 Corporate\Corporate Policies
Website	Yes
Secure Area of Website	No

PENTLAND HOUSING ASSOCIATION LIMITED

Retention of Archive Policy

Version 6

PHA Board Approval – September 2018

DATA RETENTION POLICY

1 Introduction

- 1.1 Our corporate information, records and data are important to how we conduct business and manage employees.
- 1.2 There are legal and regulatory requirements for us to retain certain data, usually for a specified amount of time. We also retain data to help our business operate and to have information available when we need it. However, we do not need to retain all data indefinitely, and retaining data can expose us to risk as well as be a cost to our business.
- 1.3 This Policy explains our requirements to retain data and to dispose of data and provides guidance on appropriate data handling and disposal.
- 1.4 Failure to comply with this Policy can expose us to fines and penalties, adverse publicity, difficulties in providing evidence when we need it and in running our business.
- 1.5 This Policy covers all data that we hold or have control over. This includes physical data, such as hard copy documents, contracts, notebooks, letters and invoices. It also includes electronic data, such as e-mails and electronic documents. It applies to both personal data and non-personal data. In this Policy, we refer to this information and these records collectively as “data”.
- 1.6 This Policy also covers data that is held by third parties on our behalf, for example, cloud storage providers or offsite data storage.

2 Guiding principles

- 2.1 Through our data retention practices, we aim to meet the following commitments:
 - 2.1.1 We comply with legal and regulatory requirements to retain data.
 - 2.1.2 We comply with our data protection obligations, in particular, to keep personal data no longer than is necessary for the purposes for which it is processed.
 - 2.1.3 We handle, store and dispose of data responsibly and securely.
 - 2.1.4 We create and retain data where we need this to operate our business effectively, but we do not create or retain data without good business reason.

2.1.5 We allocate appropriate resources, roles and responsibilities to data retention.

2.1.6 We regularly remind employees of their data retention responsibilities.

2.1.7 We regularly monitor and audit compliance with this Policy and update this Policy when required.

3 Role and responsibilities

3.1 We aim to comply with the laws, rules, and regulations that govern our organisation and with recognised good practices. All employees must comply with this Policy. Failure to do so may subject us to serious civil and / or criminal liability.

3.2 Our Data Protection Officer (DPO) is responsible for identifying the proper period of retention for our data and for providing guidance and training to employees in relation to this Policy. Employees are, however, responsible for handling the destruction of data whose retention period has expired.

4 Recommended retention periods

4.1 Certain data is more important to us and is therefore listed in the recommended retention periods set out in the Schedule to this Policy as being required to be retained permanently. This may be because we have a legal requirement to retain it permanently (so that we can produce it in the future), or because we may need it as evidence of our transactions, or because it is important to the running of our business.

4.2 Some data may be discarded or deleted once it has served its useful purpose or the period for bringing any claims against us has expired. The recommended retention periods set out in the Schedule to this Policy specify time periods for the retention of such data. Such data must not be retained beyond this period, unless a valid and strong business reason justifies its continued retention. If employees are unsure whether to retain certain data beyond the recommended retention period, they should consult the DPO.

4.3 If data is not listed in the recommended retention periods set out in the Schedule to this Policy, employees should consult the DPO for guidance.

5 Disposal and destruction of data

5.1 Hard copy data must be destroyed by shredding and electronic data must be deleted securely. No hard copy data should be destroyed by recycling.

5.2 Data must not be destroyed if the DPO confirms that its continued retention is relevant and necessary for the purposes of legal proceedings in which we are involved.

6 Consequences of failure to comply

6.1 We take compliance with this Policy very seriously. Failure to comply with the Policy may lead to disciplinary action for an employee under our procedures, and this action may result in dismissal for gross misconduct.

6.2 Any questions or concerns about this Policy should be directed to the DPO.

Last updated: September 2018

SCHEDULE
RECOMMENDED DATA RETENTION PERIODS

Type of data	Recommended retention period
Governance and Management	
<ul style="list-style-type: none"> • Certificate of registration as a registered social landlord from SHR • Confirmation of registration as a Scottish charity from OSCR • Confirmation of charitable status from HMRC • Certificate of registration as a registered society with the FCA • Certificate of registration as a care provider with the Care Inspectorate • Rules and Standing Orders 	Permanent
<ul style="list-style-type: none"> • Applications for membership 	5 years from date of end of membership
<ul style="list-style-type: none"> • Full membership register • Abbreviated membership register • Register of share certificates • Register of tenant organisations 	Permanent
<ul style="list-style-type: none"> • Board member declarations of interest • Board member documents, including appointment letters and bank details 	6 years from end of membership
<ul style="list-style-type: none"> • Board (and AGM and SGM) minutes and resolutions (including special resolutions) 	Permanent
<ul style="list-style-type: none"> • Board (and AGM and SGM) papers (including notice of Board meetings, AGMs and SGMs) 	6 years from date of issue
<ul style="list-style-type: none"> • Register of Board members 	Permanent
<ul style="list-style-type: none"> • Register of payments and benefits • Register of gifts and hospitality 	10 years from date of register entry

Type of data	Recommended retention period
<ul style="list-style-type: none"> Annual return on the Scottish Social Housing Charter, including supporting information 	5 years from date of submission
<ul style="list-style-type: none"> Annual return to the FCA 	Permanent
<ul style="list-style-type: none"> Business plans and supporting documentation Business continuity plans 	5 years from date of completion
<ul style="list-style-type: none"> Risk registers 	Permanent
Housing Management and Financial Inclusion / Income Maximisation	
<ul style="list-style-type: none"> Housing application form (including equalities and medical information) Tenancy offer letters Tenant visit records Tenancy agreement* Emergency contact information / next of kin Correspondence to and from tenants Tenants' contact details Tenants' identity documentation Pet permissions Alterations permissions Changes to tenancy, including assignments, changes to joint tenancy, mutual exchange requests, sublets and succession forms and letters Powers of attorney / mandates of authority Guardianship documentation Tenancy reference requests (received and provided) Housing Benefit related documentation, including applications, claims (including reinstatement claims), consent mandates and correspondence to and from local authority Housing Benefit department Universal Credit related 	<p>6 years from date of end of tenancy</p> <p>Information relating to children (as dependents) may be subject to extended data retention periods, depending on insurer's requirements. This could be up to 100 years after the last contact with the child.</p> <p>* Could retain the front page containing the tenant's name and the signature page of the original hard copy tenancy agreement, provided that a copy of the blank version of the standard tenancy agreement is retained. Some courts may accept an electronic / scanned version of the tenancy agreement, but this depends on how advanced the document management system is in terms of creating and retaining audit trails of scanned documents i.e. whether it is possible to prove beyond doubt that the scanned version is authentic and has not been altered following its scan to the document management system.</p>

Type of data	Recommended retention period
documentation <ul style="list-style-type: none"> • Referrals for money and benefits advice • Correspondence to and from DWP • Correspondence to and from local authority Social Work department • Correspondence to and from support agencies • Occupational therapists' reports • Anti-social behaviour incidents, including Police reports, complaints, witness statements and noise recordings • End of tenancy form • Eviction case files • Void process documentation • Communications with local authority regarding allocations • Diary notes on document management system • Court letters, documents and notices of proceedings, court reports, correspondence with solicitors and correspondence to and from Shelter 	
<ul style="list-style-type: none"> • Abandonment files 	6 years from the date of last action
<ul style="list-style-type: none"> • Unsuccessful housing applications 	5 years after notification of outcome of application
<ul style="list-style-type: none"> • Tenant satisfaction surveys and consultations 	3 years from date of completion
<ul style="list-style-type: none"> • Advice regarding benefits, debts arrears reduction and income maximisation, including details of referrals to, and contact with, other agencies 	6 months from the date of last action
<ul style="list-style-type: none"> • Records of contact with children 	Depends on the requirements of the insurer
Maintenance and Works	

Type of data	Recommended retention period
<ul style="list-style-type: none"> • Gas servicing schedule • Decanting records • Inspection / complaint file notes 	5 years from date of end of tenancy
<ul style="list-style-type: none"> • Housing Association Grant documentation for stage 3 adaptations • Correspondence with tenant re: works and adaptations • Works orders 	5 years from date of completion of works
<ul style="list-style-type: none"> • Snagging reports 	5 years from date of report
<ul style="list-style-type: none"> • Stock condition surveys 	5 years from date of survey
<ul style="list-style-type: none"> • Electrical and gas safety inspections 	6 years from date of inspection
<ul style="list-style-type: none"> • Insurance claims 	Depends on the requirements of the insurer (but minimum of 5 years from date of claim)
Housing Support	
<ul style="list-style-type: none"> • Care and support plans 	Permanent
<ul style="list-style-type: none"> • Contact notes • Occupancy agreement • Health and communication needs 	5 years from date of end of occupancy
<ul style="list-style-type: none"> • Care Inspectorate inspection reports 	5 years from the end of the period of inspection
Factoring	
<ul style="list-style-type: none"> • Factoring agreement 	5 years from date of termination of factoring agreement
<ul style="list-style-type: none"> • Communal work requests 	5 years from the date of completion of works
Finance, Pensions and Insurance	

Type of data	Recommended retention period
<ul style="list-style-type: none"> • Accounting records (including cheque counterfoils, bank statements and reconciliations and charitable donations made) • Auditing records • Balance sheets and supporting documents • VAT records and correspondence • Invoices • Credit and debit notes • Cash records, including petty cash • Creditor and debtor accounts • Orders and delivery notes 	7 years from the end of the relevant financial year
<ul style="list-style-type: none"> • Signed versions of accounts • Grant funding (HAG, etc.) 	Permanent
<ul style="list-style-type: none"> • Budgets and internal financial reports 	2 years from the end of the relevant financial year
<ul style="list-style-type: none"> • Tax returns 	10 years from the end of the relevant financial year
<ul style="list-style-type: none"> • Tenant financial information, including bank details 	7 years from the date of payment
<ul style="list-style-type: none"> • Rent payments and rent statements • Arrears correspondence • Debt recovery, earnings and bank arrestments • Bankruptcy information 	5 years from date of end of tenancy
<ul style="list-style-type: none"> • Rent refunds 	7 years from the date of refund
<ul style="list-style-type: none"> • Employee salary records, records of overtime, bonuses and benefits in kind • Pay As You Earn (PAYE) records, including wage sheets, deductions, working sheets, calculations of the PAYE income of employees and relevant payments to them, the deduction of tax from, or accounting for tax in respect of, such payments 	7 years from date of termination of employment

Type of data	Recommended retention period
<ul style="list-style-type: none"> Employee bank account details 	Termination of employment (once final payments have been made)
<ul style="list-style-type: none"> Copies of notices to employees (e.g. P45, P60) HMRC correspondence in relation to tax codes, pay and tax details Travel and subsistence payments (including expense claims and payments), season ticket advances and loans to employees Employee income tax records Records of income on which National Insurance contributions are payable Records of employer's and employee's National Insurance contributions Correspondence with HMRC 	7 years after the end of the relevant financial year
<ul style="list-style-type: none"> National minimum wage requirements records, including hours worked 	3 years, beginning with the day upon which the pay reference period immediately following that to which they relate ends
<ul style="list-style-type: none"> Statutory sick, maternity, paternity and shared parental pay records, calculations, certificates or other evidence 	3 years after the end of the relevant financial year
<ul style="list-style-type: none"> Pension actuarial valuation reports Returns of pension fund contributions Annual reconciliations of pension fund contributions 	Permanent
<ul style="list-style-type: none"> Documentation relating to retirement benefits 	6 years after the date of employee retirement
<ul style="list-style-type: none"> Pensioner records and investment policies 	12 years after end of benefits payable under policy
<ul style="list-style-type: none"> Current and former insurance policies and certificates 	Permanent

Type of data	Recommended retention period
<ul style="list-style-type: none"> Annual insurance schedules 	6 years from the end of period of insurance
Information Requests and Complaints	
<ul style="list-style-type: none"> GDPR subject access request register Third party disclosure register Environmental information request register 	6 years from date of register entry
<ul style="list-style-type: none"> GDPR subject access request case files, personal data provided, including legal advice and internal communications regarding request Environmental information request case file, including record of correspondence with applicant and information provided 	3 years from date of response / last contact
<ul style="list-style-type: none"> Complaints to the Information Commissioner (GDPR) and the Scottish Information Commissioner (environmental information) Complaints (including stage 2 complaints, correspondence with the SPSO and complaints performance reports) Data security incident and breach investigation documentation 	6 years from date of last action / report production / end of investigation
<ul style="list-style-type: none"> GDPR general compliance records 	3 years
<ul style="list-style-type: none"> Data security incident and breach register 	Permanent
Health and Safety	

Type of data	Recommended retention period
<ul style="list-style-type: none"> • Health and safety assessments • Health and safety policy statements • Records of consultations with safety representatives 	Permanent
<ul style="list-style-type: none"> • Health and safety statutory notices 	6 years after compliance
<ul style="list-style-type: none"> • Records of reportable injuries, diseases or dangerous occurrences, including reportable incidents, reportable diagnoses and injury arising out of accident at work (and associated investigations and the accident book) 	5 years from date of the entry
<ul style="list-style-type: none"> • Records of reportable injuries, diseases or dangerous occurrences, including reportable incidents, reportable diagnoses and injury arising out of accidents involving children (and associated investigations and the accident book) 	Depends on the requirements of the insurer (but minimum of 25 years)
<ul style="list-style-type: none"> • Record of employees exposed to asbestos dust, including health records of each employee • Medical records and details of biological tests under the Control of Lead at Work Regulations • Medical records specified by the Control of Substances Hazardous to Health Regulations (COSHH) 	40 years from the date of the last entry made in the record
<ul style="list-style-type: none"> • Records of monitoring of exposures to hazardous substances (where exposure monitoring is required under COSHH) 	<p>Where the record includes the personal exposures of identifiable employees, 40 years from the date of the last entry made in the record</p> <p>Otherwise, 5 years from the date of the last entry made in the record</p>
<ul style="list-style-type: none"> • Records of tests and examinations of control systems and protective equipment under COSHH 	5 years from the date on which the record was made

Type of data	Recommended retention period
Recruitment and Human Resources	
<ul style="list-style-type: none"> Rejected job applicant records, including application letters or forms (including equal opportunities monitoring forms), CVs (including copies of qualifications), references and other pre-employment checks, interview notes, assessment and psychometric test results and correspondence concerning application 	6 months from date of notification of rejection
<ul style="list-style-type: none"> Application records of successful candidates, including application letters or forms (including equal opportunities monitoring forms), CVs (including copies of qualifications), references and other pre-employment checks, interview notes, assessment and psychometric test results and correspondence concerning employment 	7 years from date of termination of employment
<ul style="list-style-type: none"> Criminal records requirement assessments for a particular post, including criminal records information forms, Disclosure Scotland and PVG checks and certificates 	<p>12 months after the assessment was last used</p> <p>All other information, as soon as practicable after the check has been completed and the outcome recorded, unless the DPO assesses – in exceptional circumstances – that retention is relevant to the ongoing employment relationship, in which case, maximum retention period of 6 months after the check has been completed</p>
<ul style="list-style-type: none"> Copies of identification documents 	2 years from date of termination of employment
<ul style="list-style-type: none"> Identification documents of foreign nationals (including right to work) 	2.5 years from date of termination of employment
<ul style="list-style-type: none"> Employment contracts, including personnel and training records, 	7 years from date of termination of employment

Type of data	Recommended retention period
<p>written particulars of employment and changes to terms and conditions of employment</p> <ul style="list-style-type: none"> • Employee performance and conduct records, probationary period reviews, review meeting and assessment interviews, appraisals and evaluations and promotions and demotions • Death benefit nomination and revocation forms • Resignation, termination and retirement records • Grievances • Collective workforce agreements • Records concerning temporary employees 	
<ul style="list-style-type: none"> • Disciplinary investigations, including warnings 	6 months after conclusion of investigation (at least 25 years in the case of disciplinary warnings involving children or vulnerable adults)
<ul style="list-style-type: none"> • Records relating to and / or showing compliance with Working Time Regulations, including registration of work and rest periods and working time opt-out forms 	3 years from the date on which the record was made
<ul style="list-style-type: none"> • Annual leave records • Sickness records • Records of return to work meetings following sickness, maternity, etc. 	7 years after the end of the relevant financial year
<ul style="list-style-type: none"> • Trade union agreements 	10 years after ceasing to be effective
<ul style="list-style-type: none"> • Occupational health records 	40 years after completion of assessment
<ul style="list-style-type: none"> • Redundancy records 	7 years from date of redundancy
Contracts and Procurement	
<ul style="list-style-type: none"> • Transfer Agreement 	30 years after the date of stock transfer

Type of data	Recommended retention period
<ul style="list-style-type: none"> Contracts executed under seal 	20 years after the end of the contract
<ul style="list-style-type: none"> Contracts for the supply of goods or services, including professional services Documentation relating to small one-off purchases of goods and services where there is no continuing maintenance or similar requirement Licensing agreements Rental and hire purchase agreements Indemnities and guarantees 	6 years after the end of the contract
<ul style="list-style-type: none"> Loan agreements Right to buy sale documents 	Permanent
<ul style="list-style-type: none"> Forms of tender 	6 years after notification of award decision
<ul style="list-style-type: none"> Document relating to unsuccessful tenderers 	3 years after contract award
<ul style="list-style-type: none"> Documents relating to successful tenderers 	6 years after the end of the contract
Property Records	
<ul style="list-style-type: none"> Leases and titles to property 	20 years after the end of the lease / ownership ceases
<ul style="list-style-type: none"> Development documentation 	20 years after settlement of all issues
<ul style="list-style-type: none"> Wayleaves, licences and servitudes 	20 years after the rights that were granted or received cease to exist
<ul style="list-style-type: none"> Planning and building control permissions Title searches undertaken prior to purchase of property 	20 years after ownership ceases
<ul style="list-style-type: none"> Property maintenance records 	During ownership of property or 5 years after the maintenance works were

Type of data	Recommended retention period
	undertaken, depending on whether ownership ceases before or after the 5 year period
<ul style="list-style-type: none"> • Reports and professional opinions on property-related matters 	6 years after the report or professional opinion was issued
Vehicles	
<ul style="list-style-type: none"> • Ownership and registration documentation • Maintenance records, including MOT tests and servicing • Mileage records 	2 years after the date of disposal of vehicle
PR, Communications and Website	
<ul style="list-style-type: none"> • Newsletter distribution lists (post) 	Until the recipient opts out of receiving the newsletter
<ul style="list-style-type: none"> • Social media posts 	Depends on internal business requirements
<ul style="list-style-type: none"> • Website contact forms / requests / enquiries / complaints 	Delete as soon as the form / request / enquiry / complaint has been transferred to the document management system, although the original may be retained for audit trail purposes
<ul style="list-style-type: none"> • Photographs (including consent forms, where available) 	Until the subject of the photograph objects to their photograph being used
Office and Administration	
<ul style="list-style-type: none"> • Visitor book entries 	6 months from date of visit

Type of data	Recommended retention period