

NOTTINGHAM CITY HOMES DOCUMENT RETENTION POLICY



Why do we need a document retention policy?

It is good practice for organisations to set out time scales for retaining key data that it holds. The Data Protection Act 1998 also requires organisations not to keep personal data for longer than it is necessary.

This policy has been developed in accordance with best practice.

What does the Nottingham City Homes Document retention Policy involve?

This Policy sets out the length of time that records/documents mentioned have to be retained by the Company. It is important that records are retained for the period as set out but are not retained for more than twelve months beyond this timescale. For example notices of meetings shall be retained for a minimum of six years. However, it is impracticable that all records are destroyed on the 6th anniversary in all cases. These records should be disposed of within twelve months i.e. by the 7th anniversary of the meeting. This gives adequate time for managers to make arrangements for the disposal of records.

This Policy does not set out how documents should be disposed of. This is left to the judgement of the manager in light of regulations that may apply to the disposal of certain records.

What about new records or changes in legislation?

This Policy sets out documents in broad terms to allow for changes in the types of documentation held. However, due to legislative changes there may be a need to hold new data or to retain information for different periods than set out in this Policy. If this occurs, it is the responsibility of each manager to advise the Company Secretary & Solicitor of the change so that an amendment can be made to the attached schedule.

When does this Policy come into force?

This Policy will come into force following Executive Management Team approval. It is acknowledged that there may be records currently being held that are in excess of the periods set out in the schedule. Managers should take steps to identify which records should be disposed of and destroy them within the next twelve months.

Document	Statutory Retention Period	Statutory Retention Source	Recommended Retention Period	Comments	Responsible Officer
1. Incorporation Documents					
Certificate of Incorporation	N/A	N/A	Permanently	Implied by S.13 of the Companies Act	Company Secretary & Solicitor
Memorandum & Articles of Association (original)	N/A	N/A	Permanently	Best Practice	Company Secretary & Solicitor
Memorandum & Articles of Association (current)	N/A	Companies Act	Permanently	Best Practice	Company Secretary & Solicitor
Governance documentation	N/A	N/A	Permanently		Company Secretary & Solicitor
Constitution, Aims & Objectives	N/A	N/A	Permanently		Company Secretary & Solicitor
2. Meetings					
Notice of Meetings	N/A	N/A	6 Years	In case of challenge to validity of meeting or resolution	Company Secretary & Solicitor
Board & Committee minutes (Company)	Permanently	Companies Act	Permanently	Signed originals must be kept	Company Secretary & Solicitor
Board Resolutions (Company)	Permanently	Companies Act	Permanently		Company Secretary & Solicitor
Minutes of other meetings	N/A	N/A	6 years	Best practice	All Managers
3. Registrations & Statutory Returns					
Audited returns & financial statements	N/A	N/A	Permanently	Best practice	Company Secretary & Solicitor
Declaration of Interest	N/A	N/A	6 years	Limitation for legal proceedings	Company Secretary & Solicitor
Register of Directors & Secretaries	Permanently	Companies Act	Permanently		Company Secretary & Solicitor
Annual Returns to Companies House	Permanently	Companies Act	Permanently		Company Secretary & Solicitor
Register of Board Members	Permanently	Companies Act	Permanently	Records may be removed from the Register 20 years after membership ceases	Company Secretary & Solicitor
Register of Seals	N/A	N/A	Permanently	Best practice	Company Secretary & Solicitor

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1. Strategic Management					
Business Plans & supporting documentation (e.g. organisation structures, aims, objectives, funding issues)	N/A	N/A	5 years after plan completion	Best practice	Director of Strategy & Partnerships
5. Insurances					
Current and former policies	N/A	N/A	Permanently	Limitation can commence from knowledge of potential claim, and/or date cause of action arises	Director of Finance, ICT & Governance
Annual Insurance Schedule	N/A	N/A	6 years	Best practice	Director of Finance, ICT & Governance
Register of Claims & related correspondence	N/A	N/A	6 years after settlement		Company Secretaries
Indemnities & guarantees	N/A	N/A	6 years after expiry	Limitation for legal proceedings	Director of Finance, ICT & Governance
6. Finance & Accounting & Tax Records					
Accounting records for Limited Company	3 years	Companies Act Tax Management Act	10 years	S20. Tax Management Act 1970 may require any documents relating to tax over 6 (plus) years	Director of Finance, ICT & Governance
Balance sheets and supporting documents	N/A	N/A	6 to 10 years	Best practice. To relate to accounting records.	Director of Finance, ICT & Governance
Signed copy of report & accounts	N/A	N/A	Permanently	Best practice	Director of Finance, ICT & Governance
Budgets & internal financial reports	N/A	N/A	2 years	Best practice	Director of Finance, ICT & Governance
Tax returns & records	N/A	N/A	10 years	S20. Tax Management Act 1970 may require any documents relating to tax over 6 (plus) years	Director of Finance, ICT & Governance

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VAT records	6 years	Value Added Tax Act 1994	6 years	Customs & Excise requirements for VAT registered bodies	Director of Finance, ICT & Governance
Orders & delivery notes	6 years	Value Added Tax Act 1994	6 years	Customs & Excise requirements for VAT registered bodies	Director of Finance, ICT & Governance
Copy invoices	6 years	Value Added Tax Act 1994	6 years	Customs & Excise requirements for VAT registered bodies	Director of Finance, ICT & Governance
Credit & debit notes	6 years	Value Added Tax Act 1994	6 years	Customs & Excise requirements for VAT registered bodies	Director of Finance, ICT & Governance
Cash records & till rolls	6 years	Value Added Tax Act 1994	6 years	Customs & Excise requirements for VAT registered bodies	Director of Finance, ICT & Governance
Journal transfer documents	6 years	Value Added Tax Act 1994	6 years	Customs & Excise requirements for VAT registered bodies	Director of Finance, ICT & Governance
Creditors, debtors & cash income control accounts	6 years	Value Added Tax Act 1994	6 years	Customs & Excise requirements for VAT registered bodies	Director of Finance, ICT & Governance
VAT related correspondence	6 years	Value Added Tax Act 1994	6 years	Customs & Excise requirements for VAT registered bodies	Director of Finance, ICT & Governance
7. Other Banking Records					
Cheques	N/A	N/A	6 years where retained	Limitation on legal proceedings	Director of Finance, ICT & Governance
Paying in counterfoils	N/A	N/A	6 years where retained	Limitation on legal proceedings	Director of Finance, ICT & Governance
Bank statements & reconciliations	3 years	Companies Act	6 years	Limitation on legal proceedings	Director of Finance, ICT & Governance
Instructions to bank	N/A	N/A	6 years	Limitation on legal proceedings	Director of Finance, ICT & Governance

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8. Contracts & Agreements					
Contracts under seal and/or executed as deeds	N/A	N/A	12 years after completion (including any defects liability period)	Limitation on legal proceedings	Procurement Manager
Contract for supply of goods or services including professional services	N/A	N/A	12 years after completion (including any defects liability period)	Limitation on legal proceedings	Procurement Manager
Documentation relating to small one-off purchase of goods or services, where there is no continuing maintenance or similar requirement	N/A	N/A	6 years	Best practice Suggested limit: goods or services costing up to £10k. Limitations on legal proceedings	Procurement Manager
Loan agreements	N/A	N/A	12 years after last payment	Best practice	Procurement Manager
Rental & lease agreements	N/A	N/A	6 years after expiry	Limitation on legal proceedings	Procurement Manager
Documents relating to successful tender	N/A	N/A	6 years after the end of contract	Inland Revenue	Procurement Manager
Documents relating to unsuccessful tenders	N/A	N/A	3 years after written acceptance by the successful tenderer or the life of the contract, whichever is greater		Procurement Manager
Forms of tender	N/A	N/A	6 years	Best practice	Procurement Manager

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9. Charitable Donations					
Deeds of covenant	6 years after last payment	Tax Management Act	12 years after last payment	Limitation for legal proceedings if related to land	Director of Finance, ICT & Governance
Index of donations granted	N/A	N/A	6 years	Best practice	Director of Finance, ICT & Governance
Accounts documentation	3 years	Companies Act	6 years	Best practice	Director of Finance, ICT & Governance
10. Application & Tenancy Records					
Applications for accommodation	N/A	N/A	6 years after offer accepted	Best practice	Director of Housing Operations
Rent statements	N/A	N/A	2 years	Best practice	Director of Housing Operations
Current tenants' Tenancy Files, including rent payments records, and details of any complaints and harassment cases	N/A	N/A	Indefinitely	Independent Housing Ombudsman recommendations. For rent payment details, best practice suggest live system holds 2 years records plus current year	Director of Housing Operations
Former tenants' Tenancy Files (other than tenancy agreements – see below) including rent payment records, recharge information and details of any complaints and harassment cases except tenancy agreements and leaving details – see below	N/A	N/A	4 years unless ASBO exceeds 4 Year Limit	Independent Housing Ombudsman recommendation (subject to Data Protection Act 1998)	Director of Housing Operations
Former tenants' Tenancy Agreements and details of leaving	N/A	N/A	Permanently	Independent Housing Ombudsman recommendation (subject to Data Protection Act 1998)	Director of Housing Operations

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Documentation, correspondence and information provided by other agencies relating to special needs of current tenants	N/A	N/A	While tenancy continues	Information held on "need to know" basis. Medical and Social Services records liable to be confidential. To be returned or passed to subsequent agency at end of tenancy, or destroyed.	Director of Housing Operations
Records relating to offenders, ex-offenders and persons subject cautions	N/A	N/A	While tenancy continues	Information held on a "need to know" basis. Police sourced records may be confidential. To be dealt with as required by the Police.	Director of Housing Operations
11. Property Records					
Rent registrations	N/A	N/A	Permanently		Director of Finance, ICT & Governance
Leases & deeds of ownership	N/A	N/A	While owned	Best practice	Director of Finance, ICT & Governance
Copy of former leases	N/A	N/A	12 years after settlement of all issues	Limitation for legal action relating to land or contracts under seal	Director of Finance, ICT & Governance
Wayleaves, licences and easements	N/A	N/A	12 years after rights given or received cease	Limitation for legal action relating to land or contracts under seal	Director of Finance, ICT & Governance
Abstracts of title	N/A	N/A	12 years after interest ceases	Limitation for legal action relating to land or contracts under seal	Director of Finance, ICT & Governance
Planning & building control permissions	N/A	N/A	12 years after interest ceases	Limitation for legal action relating to land or contracts under seal	Director of Finance, ICT & Governance

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Searches	N/A	N/A	12 years after interest ceases	Limitation for legal action relating to land or contracts under seal	Director of Finance, ICT & Governance
Property maintenance records	N/A	N/A	6 years	Limitation for legal action	Director of Property Services
Reports and professional opinions	N/A	N/A	6 years	Limitation for legal action	
Development documentation	N/A	N/A	12 years after settlement of all issues	Limitation for legal action relating to land or contracts under seal	
12. Vehicles					
Mileage records	N/A	N/A	2 years after disposal	Best practice	Procurement Manager
Maintenance records, MOT tests	N/A	N/A	2 years after disposal	Best practice	Procurement Manager
Copy registrations	N/A	N/A	2 years after disposal	Best practice	Procurement Manager
13. Employees: Tax & Social Security					
Records if taxable benefits	6 years	Tax Management Act	6 years	Inland Revenue require retention of each payment for 3 years	Director of Organisation Development
Record of tax deducted or refunded	6 years	Tax Management Act	6 years	Inland Revenue require retention of each payment for 3 years	Director of Organisation Development
Record of earnings on which standard National Insurance Contributions payable	6 years	Tax Management Act	6 years	Inland Revenue require retention of each payment for 3 years	Director of Organisation Development
Record of employer's and employee's National Insurance Contributions	6 years	Tax Management Act	6 years	Inland Revenue require retention of each payment for 3 years	Director of Organisation Development
National Insurance Contributions contracted out payments	6 years	Tax Management Act	6 years		Director of Organisation Development

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Copies of notices to employee e.g. P45 & P60	6 years	Tax Management Act	6 years		Director of Organisation Development
Inland Revenue notice of code changes, pay and tax details	6 years	Tax Management Act	6 years	years	Director of Organisation Development
Expense claims	N/A	N/A	6 years after audit	Best practice	Director of Organisation Development
Record of sickness payments	3 years following year to which they relate	Statutory Sick Pay Regulations 1982	6 years	Inland Revenue require retention of each payment for 3 years	Director of Organisation Development
Record of maternity payments	3 years following year to which they relate	Statutory Maternity Pay Regulations 1982	6 years	Inland Revenue require retention of each payment for 3 years	Director of Organisation Development
Income tax and National Insurance Returns	3 years following year to which they relate	Income Tax (Employment) Regulations 1993	6 years	Best practice	Director of Organisation Development
Redundancy details and record of payments/refunds	N/A	N/A	12 years	Chartered Institute of Personnel and Development recommendation	Director of Organisation Development
Inland Revenue approvals	N/A	N/A	Permanently	Chartered Institute of Personnel and Development recommendation	Director of Organisation Development
Annual earnings summary	N/A	N/A	12 years	Best practice	Director of Organisation Development

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14. Employees: Pension Schemes					
Actuarial valuation reports	N/A	N/A	Permanently	Chartered Institute of Personnel and Development recommendation	Director of Organisation Development
Details returns of pension fund contributions	N/A	N/A	Permanently	Best practice	Director of Organisation Development
Annual reconciliations of fund contributions	N/A	N/A	Permanently	Best practice	Director of Organisation Development
Money purchase details	N/A	N/A	6 years after transfer or value taken	Chartered Institute of Personnel and Development recommendation	Director of Organisation Development
Qualifying service details	N/A	N/A	6 years after transfer or value taken	Chartered Institute of Personnel and Development recommendation	Director of Organisation Development
Investment policies	N/A	N/A	12 years after benefits cease	Chartered Institute of Personnel and Development recommendation	Director of Organisation Development
Pensioner records	N/A	N/A	12 years after benefits cease	Chartered Institute of Personnel and Development recommendation	Director of Organisation Development
Records relating to retirement benefits	6 years after retirement	Retirement Benefits Schemes (Information Powers) Regulations 1995	6 years after year of retirement	Chartered Institute of Personnel and Development recommendation	Director of Organisation Development

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15. Employees (Personnel Procedures)					
Terms & conditions of service, both general terms & conditions applicable to staff, and specific terms & conditions applying to individuals	N/A	N/A	6 years after last date of currency	Limitation for legal proceedings	Director of Organisation Development
Service contracts for directors	3 years	Companies Act	6 years after directorship ceases	Best practice	Director of Organisation Development
Remuneration package	N/A	N/A	6 years after last date of currency	Limitation for legal proceedings	Director of Organisation Development
Former employees' personnel files	N/A	N/A	6 years	Chartered Institute of Personnel and Development recommendation	Director of Organisation Development
References to be provided for former employees	N/A	N/A	6 years or until former employee reaches age 65 (whichever comes first)	Best practice (limitation on legal proceedings arising from alleged negligent references)	Director of Organisation Development
Training programmes	N/A	N/A	6 years after completion	Best practice	Director of Organisation Development
Individual training records	N/A	N/A	6 years after completion	Chartered Institute of Personnel and Development recommendation	Director of Organisation Development
Shortlists, interview notes and related applications	N/A	N/A	1 year	Chartered Institute of Personnel and Development recommendation	Director of Organisation Development

Document	Statutory Retention Period	Statutory Retention Source	Recommended Retention Period	Comments	Responsible Officer
Application forms of non-shortlisted candidates	3 months after notification	Sex Discrimination Act 1965 & 1975 Race Relations Act 1976	1 year	Recommendation of Commission for Racial Equality and Equal Opportunities Commission Employment Tribunal has jurisdiction to extend the time for bringing a claim in special circumstances	Director of Organisation Development
Time cards	N/A	N/A	2 years after audit	Chartered Institute of Personnel and Development recommendation	Director of Organisation Development
Trade Union agreements	N/A	N/A	Permanently	Chartered Institute of Personnel and Development recommendation	Director of Organisation Development
Employer/employee committee minutes	N/A	N/A	Permanently	Chartered Institute of Personnel and Development recommendation	Director of Organisation Development
16. Employees: Health & Safety					
Medical records relating to control asbestos	40 years	Control of Asbestos at Work Regulation 1987	40 years		Director of Organisation Development
Health & Safety assessments	N/A	N/A	Permanently	Chartered Institute of Personnel and Development recommendation	Director of Organisation Development

Document	Statutory Retention Period	Statutory Retention Source	Recommended Retention Period	Comments	Responsible Officer
Health & Safety Policy statements	N/A	N/A	Permanently	Good practice	Director of Organisation Development
Records of consultation with safety representatives	N/A	N/A	Permanently	Chartered Institute of Personnel and Development recommendation	Director of Organisation Development
Accident records & reports	3 years after date of occurrence	Reporting of Injuries, Diseases & Dangerous Occurrences Regulations 1985	6 years after the date of occurrence	Limitation for legal proceedings	Director of Organisation Development
Accident books	N/A	N/A	6 years after date of last entry	Limitation for legal proceedings	Director of Organisation Development
Sickness records	N/A	N/A	6 years after date of last sickness	Limitation for legal proceedings	Director of Organisation Development
Health & Safety statutory notices	N/A	N/A	6 years after compliance	Limitation for legal proceedings	Director of Organisation Development
17. Performance					
Internal audit records	N/A	N/A	4 years		Director of Finance, ICT & Governance
Performance data	N/A	N/A	4 years		Director of Strategy & Partnership
Records of complaints	N/A	N/A	3 years		Director of Housing Operations
Benchmarking data	N/A	N/A	4 years		Director of Strategy & Partnership

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18. Plant & equipment maintenance & Inspection					
Lifting equipment	N/A	N/A	2 years after last use		Director of Property Services
Work equipment	N/A	N/A	Until next inspection	It is advised that these records should not be disposed of until at least 3 years after inspection	Director of Property Services
Scaffolding	N/A	N/A	3 months after dismantled		Director of Property Services
Local exhaust ventilation	N/A	N/A	40 years		Procurement Manager
Noise surveys/data	N/A	N/A	40 years		Procurement Manager
Vibration surveys/data	N/A	N/A	40 years		Procurement Manager
Vehicle maintenance	N/A	N/A	2 years after disposal		Procurement Manager
Electrical equipment	N/A	N/A	3 years after disposal		Director of Property Services
Access equipment	N/A	N/A	Until the next inspection	It is advised that these records should not be disposed of until at least 3 years after inspection	Director of Property Services
19. Buildings	N/A	N/A	Permanent		
Workplace inspections	N/A	N/A	Until building disposed of		Director of Organisation Development
Health & Safety file	N/A	N/A	3 years		Director of Organisation Development

Document	Statutory Retention Period	Statutory Retention Source	Recommended Retention Period	Comments	Responsible Officer
Fire equipment	N/A	N/A	3 years		Director of Organisation Development
Fire alarms	N/A	N/A	As long as in force		Director of Organisation Development