



## 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](mailto: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) Documents have been categorised according to the originating Department / function and reflect the content of their respective Information Asset Registers.
- 3) 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).
- 4) If you have any questions regarding this Schedule, please contact the Governance Team as per above.
- 5) This Schedule was last updated in **April 2023**.

## 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							
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

## GROUP DOCUMENT RETENTION SCHEDULE

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### GROUP DOCUMENT RETENTION SCHEDULE

AM012	Works Orders	Name, Address, and contact details	To raise a works order for contractors	Paper and Electronic	Nil	Date processed	Best practice
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
<b>Factoring</b>							
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
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

**GROUP DOCUMENT RETENTION SCHEDULE**

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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## GROUP DOCUMENT RETENTION SCHEDULE

### 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
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

# GROUP DOCUMENT RETENTION SCHEDULE

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
<b>Tenancy File / Housefile</b>							
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
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

### GROUP DOCUMENT RETENTION SCHEDULE

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
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



# GROUP DOCUMENT RETENTION SCHEDULE

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
	<b>Rent Payments</b>						
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
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
	<b>Benefit Claims and Advice</b>						
OP026	HB application	Name, address, housing benefit ref, rent details, relevant tenancy info	HB payment	Electronic	Nil	Date submitted	Best practice

### GROUP DOCUMENT RETENTION SCHEDULE

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
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

# GROUP DOCUMENT RETENTION SCHEDULE

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
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

### GROUP DOCUMENT RETENTION SCHEDULE

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
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

### GROUP DOCUMENT RETENTION SCHEDULE

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
<b>Arrears</b>							
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
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

# GROUP DOCUMENT RETENTION SCHEDULE

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
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

# GROUP DOCUMENT RETENTION SCHEDULE

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
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
<b>Anti-social Behaviour</b>							
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

### GROUP DOCUMENT RETENTION SCHEDULE

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
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
	<b>Legal / Court Action</b>						
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



# GROUP DOCUMENT RETENTION SCHEDULE

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
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

# GROUP DOCUMENT RETENTION SCHEDULE

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
	<b>MAPPA</b>						
OP079	MAPPA Records	Name, address, criminal	Health & safety	Electronic	Nil	Tenancy end date	Best practice
	<b>HMO</b>						
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
	<b>Parking Permits</b>						
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
	<b>Translation Services</b>						
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
	<b>Maintenance</b>						
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

# GROUP DOCUMENT RETENTION SCHEDULE

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
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
OP092	Telephone Recordings	Electronic	Monitoring and Training	Electronic	6 Months	Date of recording	Best practice

## 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							
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
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)

# GROUP DOCUMENT RETENTION SCHEDULE

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
<b>Small Repair</b>							
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
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
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

## 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
<b>Complaints Handling</b>							
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

# GROUP DOCUMENT RETENTION SCHEDULE

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
<b>Membership</b>							
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
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

## GROUP DOCUMENT RETENTION SCHEDULE

[illegible]

# GROUP DOCUMENT RETENTION SCHEDULE

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 electronica lly)	6 years	Employment / membership end date	Best practice / Prescription of claims / Rules
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# 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
<b>Business Continuity</b>							
GO027	Business Continuity Plan	names, addressess, telephone numbers	Required for contact details	Electronic / Paper	Nil	Date employment ceases	Best practice
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

# GROUP DOCUMENT RETENTION SCHEDULE

Recruitment							
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
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



### GROUP DOCUMENT RETENTION SCHEDULE

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
<b>HEALTH &amp; SAFETY</b>							
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)

# GROUP DOCUMENT RETENTION SCHEDULE

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)
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

STRATEGY & INNOVATION							
Ref.	Type of Information / record	Information held	Purpose for Processing	Formats	Retention Period	Retention Trigger (Start of Retention Period)	Retention Period Authority
SI001	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
SI002	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							
SI003	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
SI004	ToE information for marketing & comms strategy	Name, address, email, mob phone	contact and voting activity for stransfer	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
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

### GROUP DOCUMENT RETENTION SCHEDULE

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
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

# GROUP DOCUMENT RETENTION SCHEDULE

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 indoviduals contributions	Electronic / paper	5 years / 3 years if death	Current service users - confirm EOT info	Best practice / Prescription of claims
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

# GROUP DOCUMENT RETENTION SCHEDULE

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
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