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1. HUMAN RESOURCES/ER/L&D

RETENTION PERIOD	TYPE OF DATA/ DOCUMENT	STORED (Electronic/ hard copy)	RESPONSIBLE PERSON	SOURCE
Pre-Employment Records				
6 months	Job application and interview records	Electronic	Group Head of HR	CIPD *
Employee Records				
Permanently	Senior executive records	Electronic	Group Head of HR	CIPD *
10 years	Trade union agreements	Electronic	Group Head of HR	CIPD *
7 years after employment ceases	Accident reports Job application and interview records Personnel records Training records Salary registers Expense accounts/records Overtime records/authorisation Claims for redundancy and long service awards Records relating to background checks Medical records relating to Health & Safety	Electronic	Group Head of HR	CIPD *
10 years after settlement	Employment Tribunal Bundles and Judgements	Electronic	Employee Relations Manager	'NHSCode of Practice'
6 years after case is heard of any appeal process completed	Disciplinary Records	Electronic	(Employee Relations Manager)	'The Code of Practice'
Volunteer Records				

2 years after the volunteer ceases working for us	Volunteer records	Electronic	Line Managers/ Group Head of HR	CIPD *
Apprenticeship Records				
6 years after employment ceases	Apprenticeship details (including employee and line managers name, place of work, contact phone number and avenues email addresses)	Electronic	L&D Manager & Lifetime Training	

2. FINANCE/PAYROLL

RETENTION PERIOD	TYPE OF DATA/ DOCUMENT	STORED (Electronic/ hard copy)	RESPONSIBLE PERSON	SOURCE
Bank, Accounting and Tax Records				
Permanently	Annual Report and Accounts Investment certificates Investment ledger Fixed assets register Successful quotations for capital expenditure	Electronic	Group Director of Finance	
10 years	Invoices – capital item	Electronic	Group Director of Finance	
6 years from the end of the financial year in which the transaction was made	Cheques, bills of exchange or other negotiable instruments Paying in counterfoils Purchase ledger Petty cash records Remittance advices Bank Reconciliations	Electronic	Group Director of Finance	
	Taxation records	Electronic	Payroll	

6 years from date record created	VAT records	Electronic	Finance	
6 years after ceasing to be effective	Statements from and instructions to the bank	Electronic	Finance	
6 years after last payment made. 12 years if payments outstanding or dispute regarding the deed	Deeds of covenant	Electronic	Finance	
6 years after the estate has been wound up (if applicable)	Donation correspondence	Electronic	Finance	
6 years	Expense accounts Invoices – revenue Sales ledger	Electronic	Finance	
5 years	Budgets, forecasts and periodic internal financial reports	Electronic	Finance	
Pension scheme Documents				
Permanently	Investment an insurance policy records	Electronic	Finance	
Permanently	Inland revenue approvals Actuarial records Contribution records	Electronic	Finance	
12 years after cessation of benefit	Records of pensioners Pension scheme investment policies		Payroll	
6 years from date signed	Pension fund accounts and supporting documents Actuarial valuation reports		Payroll	
7 years	Payroll control account		Payroll	
6 years	Changes of payment		Payroll	

3. LEGAL AND GOVERNANCE

RETENTION PERIOD	TYPE OF DATA/ DOCUMENT	STORED (Electronic/ hard copy)	RESPONSIBLE PERSON	SOURCE
Incorporation Documents				
Indefinite	Trustee minute books Register of Directors and Secretaries Historical records about the company (e.g. former directors, chair persons, employees of note)		Company Secretary	
Until the organisation ceases to exist	Certificate of Incorporation and Certificates on Change of Name Memorandum and Articles of Association (original and updated copies) Copies of resolutions submitted to Companies House Annual corporate filings and reports Board policies, meeting minutes and committee meeting minutes		Company Secretary	
50 years	Copyright registrations		Company Secretary	
10 years after date they ceased to be members	Register of Members	Electronic	Company Secretary	Trowers Advice
6 years after cessation	Directors service contracts		Company Secretary	
2 years	Register of Directors residential addresses		Company Secretary	
Contracts and Agreements				
12 years after expiry	Contracts executed under seal		Company Secretary	

6 years after expiry or completion	Contracts with suppliers, agents or others Rental and hire purchase agreements Licensing agreements		Company Secretary	
Under seal – 12 years after expiry Other – 6 years after expiry	Agreements		Company Secretary	
Pension scheme Documents				
Permanently	Trust deeds and scheme rules		Company Secretary	
Intellectual Property Records				
Permanently	Certificates of registration of trade/service marks (current and lapsed)		Company Secretary	
6 years after cessation of registration	Documents evidencing assignment of trade/service marks		Company Secretary	
6 years after expiry	Intellectual property agreements and licences		Company Secretary	Trowers Advice
Information Access Requests				
6 years	SARs (Subject Access Requests), and all correspondence relating to FOI (freedom of information) requests	Electronic	Company Secretary	
Trustees				
2 years after the volunteer ceases working for us	Trustee Information (volunteers)	Electronic	Company Secretary	
Investigations				
6 years from closure of investigation	Monitoring and investigation requests	Electronic	Company Secretary	Trowers Advice

4. OFFICE MANAGEMENT

RETENTION PERIOD	TYPE OF DATA/ DOCUMENT	STORED (Electronic/ hard copy)	RESPONSIBLE PERSON	SOURCE
Insurance Documents				
Permanently	Public liability policies Product liability policies		Group Office Manager	
40 years	Employers' liability policies		Group Office Manager	
Until claims under policy are barred or 3 years after policy lapses, whichever is longer	Sundry insurance policies and insurance schedules		Group Office Manager	
12 years after cessation	Group personal accident policies		Group Office Manager	
3 years after settlement	Claims correspondence		Group Office Manager	
Documents relating to people we support				
Duration we are being provided with goods/ services	Suppliers Details		Office Management	

5. HOUSING TEAM/HEALTH & SAFETY

RETENTION PERIOD	TYPE OF DATA/ DOCUMENT	STORED (Electronic/ hard copy)	RESPONSIBLE PERSON	SOURCE
Property Documents				
Permanently	Title deeds for property	Electronic	Housing Manager	
12 years after lease and liabilities have terminated	Leases	Electronic	Housing Manager	
12 years after interest in property	Conveyances Land certificates Planning permission searches Grants of easement Building control permission	Electronic	Housing Manager	
People who use our housing services				
7 years	Contact Details and reference documents	Electronic	Housing Manager	
During the life of the product	Inspection reports (lifts, boilers etc.)	Electronic	Housing Manager	
Supplier Details				
For as long as you are providing us with goods/services	Contact Details	Electronic	Housing Manager	
Health and Safety Documents				
Permanently	Record of consultations with safety representative and committees	Electronic	Health & Safety Manager	

	Health & Safety policy documents (old and revised copies)			
6 years	Health & Safety Inspections, property management and asset records	Electronic	Health & Safety Manager	Trowers Advice
	Health and Safety contractor forms		Health & Safety Manager	
Documents relating to people we support				
During the life of the product	Maintenance contracts (for equipment)		Health & Safety Manager	
Duration we are being provided with goods/ services	Suppliers Details		Health & Safety Manager	

6. COMPLAINTS

RETENTION PERIOD	TYPE OF DATA/ DOCUMENT	STORED (Electronic/ hard copy)	RESPONSIBLE PERSON	SOURCE
People who complain about our work				
3 years once the complaint is concluded	Contact Details	Electronic	Complaints Manager	CQC*

7. IT

RETENTION PERIOD	TYPE OF DATA/ DOCUMENT	STORED (Electronic/ hard copy)	RESPONSIBLE PERSON	SOURCE
Website Visitors				
	Cookie Files and IP addresses?	Electronic	Head of IT	
Software				
7 years from decommissioning of system or expiry of agreement	General information about externally developed IT infrastructure, software and systems for internal or external use. Contracts and agreements (software licences, support agreements, hardware agreements etc.).	Electronic	Head of IT	Trowers Advice
5 years from decommissioning of system	General information about internally developed IT infrastructure, software and systems for internal use.	Electronic	Head of IT	Trowers Advice
3 years from when the plan is superseded	Business continuity and information security plans.	Electronic	Head of IT	Trowers Advice
3 years from end of system	Technical support and help-desk requests.	Electronic	Head of IT	Trowers Advice
3 months	System Backups	Electronic	Head of IT	Trowers Advice

Personal Data				
6 years	<p>Personal Data that is held on our IT systems</p> <p>When personal data is deleted from our IT system after the recommended retention period above it will remain on our back up archive for a period of 6 years.</p>	Electronic		

8. QUALITY ASSURANCE AND PRACTICE DEPARTMENT

RETENTION PERIOD	TYPE OF DATA/ DOCUMENT	STORED (Electronic/ hard copy)	RESPONSIBLE PERSON	SOURCE
Documents relating to people we support				
Permanently	Death Records Mortality Reviews Letters / reports from Health Care professionals	Electronic	Service Manager/ QAP	
10 years	Accident / incident forms Litigation dossiers (including accident and incident reports)	Electronic (Care Planning)	Care Planning	
8 years after support has stopped	All support based records for PWS with a PBS Plan (including behavioural records)	Electronically (email/ reports)	QAP	
8 years after death	Files of deceased individuals	Electronic (Care Planning)	Care Planning	
Documents relating to services				
12 years	Quality Assurance Records (which do not include information relating to PWS)	Electronic	QAP/ Care Planning	

9. BUSINESS DEVELOPMENT/REFERRALS/COMMUNICATION

RETENTION PERIOD	TYPE OF DATA/ DOCUMENT	STORED (Electronic/ hard copy)	RESPONSIBLE PERSON	SOURCE
People who are looking for support (Referrals)				
2 years from initial referral (if we cannot provide the support)	Contact Details	Electronic	Head of Referrals	
People who are interested in our work – marketing				
Until you withdraw your consent	Contact Details	Electronic	Head of Communications	

10. BUSINESS SYSTEMS

RETENTION PERIOD	TYPE OF DATA/ DOCUMENT	STORED (Electronic/ hard copy)	RESPONSIBLE PERSON	SOURCE

11. OPERATIONS

RETENTION PERIOD	TYPE OF DATA/ DOCUMENT	STORED (Electronic/ hard copy)	RESPONSIBLE PERSON	SOURCE
Health and Safety Documents				
Permanently	Assessment of risks under health and safety regulations (including routine assessment monitoring and maintenance records for aspects in the workplace)		Group Director of Operations	
3 years from date of entry	Accident report book and relevant records /correspondence		Group Director of Operations	
Documents relating to people we support				
Permanently (When the support ends the original Personal ID documents either go with the person, go to the NOK or go to social services)	Original Personal Identification Documents (Birth Certificates, Death Certificates, Passports, Driving Licences, Will, Deeds, Title Documents for property) Death Notices and registers Discharge books Laboratory reports Epilepsy charts	Hard Copy	Service Manager	* Appendix 3 - Trowers Advice note
During the life of the product	Operating manuals		Service Manager	

8 years after support stops or the death of the person being supported	All Day-to-day PWS files (including logs and care plans)		Service Manager	'The Code of Practice'
10 years	Accident / incident forms	Care planning	Systems Manager/ QAP	** see below
10 years	Litigation dossiers		Service Manager/ QAP	
Next of Kin / Family and Advocate Details				
8 years after support stops or the death of the person being supported	Contact Details Records contact with family and friends Records contact with care manager		Service Manager	

SOURCE REF: Please list here where you have sourced your retention information.

*The Chartered Institute of Personnel and Development 2022 (CIPD):
<https://www.cipd.co.uk/knowledge/fundamentals/people/hr/keeping-records-factsheet#graf>

* NHS Digital. The Records Management Code of Practice for Health and Social Care 2021 (the Code)

* **Appendix 1** - Operational Documentation relating to the people we support

* **Appendix 2** – Operational Documents relating to the Service

* **Appendix 3** - Operational Documentation relating to Employees

* Trowers Advice Note & Retention Example