

**Information and Transformation
Information and Records Management Service**

Record Retention Schedule

**Home Improvement Agency
Private Sector Housing**

January 2013

Document Classification

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Approval Log

Approver	Name	Date
<i>Records Management</i>	Anthony Sawyer (Information and Records Management Team Leader)	22/04/2013
<i>Department / Section</i>	Charles Yarnold (Principal Enforcement Officer (Housing))	
<i>Archive Service</i>	Elizabeth Semper O'Keefe (Information Services Manager)	

Version Log

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0.01	Draft	25/07/11	Creation of document	-	all
1.0	Approved	12/10/12	-	-	all
1.1	Update	31/01/13	Team update prior to move	-	all

When to use the retention schedule

- When **creating records**, this retention schedule will act as a guide to the conditions under which that record should be managed, stored and ultimately disposed of.
- When **designing filing systems**, this retention schedule will give a clear understanding of the legal and business requirement for record keeping,
- When **managing offices**, this retention schedule will give a clear understanding of which records should be transferred to the Modern Records Unit and/or the Herefordshire Record Office, and which records should eventually be destroyed, thus maximizing office space.
- When **destroying records**, this retention schedule will minimize the risk that records are destroyed before they should be, or kept for longer than they need to be kept.

Records Management

This retention schedule lists the **minimum length of time** to keep the records generated as a result of the service's business processes. Descriptions of each process are found in the Corporate File Plan for the service area. This schedule is updated according to:

- Acts of Parliament; Statutory Instruments; Approved Codes of Practice; Current Council practices and financial regulations. (The scheme follows the Retention Guidelines for Local Authorities produced by the Records Management Society of Great Britain)

The **retention period is taken from the date of file closure**, and applies to records stored in all media (including paper and electronic versions)

Using the retention Schedule

Within the schedule, the

- **Storage format** shows the medium in which the record is held.
- **Special processes** show if any changes are made to the class of record throughout its life, such as if it is scanned or microfilmed at a certain point.

- **Retention period** is the **minimum length of time** for which the class of record should be kept, whilst the action is to destroy, archive or review the records once they reach the end of their retention period, and Herefordshire Council has no further business use for them.
- **Reason for retention** includes any legislative or regulatory reason on which the retention period is based.

Adhering to the retention schedule is a requirement of Herefordshire Council's Records Management Policy, found on the Intranet Document Library under "*Records Management*". The schedules also give consistent instruction to all staff dealing with records.

Disposal

When **records** are **destroyed** at the **end of their retention period**, all **backup copies must also be destroyed** as far as possible, in order to ensure compliance with the Data Protection Act 1998 and the Freedom of Information Act 2000.

- Except in **cases of investigation** by Police, Internal Audit, or the Audit Commission all **destruction** procedures on the information concerned **must cease immediately** regardless of storage format.
- Equally, no records should be destroyed once they are **known** to be the subject of a **Freedom of Information Act 2000 request**.

Records for **permanent preservation** should be passed to the **Herefordshire Archive Service**.

- Contact the Senior Archivist for information on transfer procedures.
- The Archive Service may choose to keep a sample of certain classes of record for permanent preservation, but this will be agreed beforehand with depositing departments.

Updates to the schedule

The schedules will be regularly reviewed to incorporate any changes to business practice. If you have any comments or queries regarding this schedule, please contact: Tel: (01432) 260112 or Email: rms@herefordshire.gov.uk

Finance		Storage Format	Special Processes	Retention Period	Action	Reason for Retention
	Bank Statements	Paper	None	6 Years + current year	Destroy	Herefordshire Council Financial Regulations
	Budget Returns	Paper	None	6 Years + current year	Destroy	Herefordshire Council Financial Regulations
	Credit Card Statements	Paper	None	6 Years + current year	Destroy	Herefordshire Council Financial Regulations
	Discretionary Fund for Expenses	Paper	None	6 Years + current year	Destroy	Herefordshire Council Financial Regulations
	Invoices	Paper	None	6 Years + current year (originals), 1 year (copies)	Destroy	Herefordshire Council Financial Regulations
	Payment Vouchers	Paper	None	6 Years + current year	Destroy	Herefordshire Council Financial Regulations

	Special Energy Efficiency Grants	Paper	None	6 Years + current year	Destroy	Herefordshire Council Financial Regulations
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Health and Safety		Storage Format	Special Processes	Retention Period	Action	Reason for Retention
	Accident Reporting	Paper	None	3 years + current year (30 years for investigation reports, 40 years for incidents reported where an exposure under The Control Of Substances Hazardous to Health	Destroy	Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995. Schedule 4 and regulation 7 (3).

Housing Stock		Storage Format	Special Processes	Retention Period	Action	Reason for Retention
	Care Alarms	Paper	None	2 Years after last action	Destroy	Operational
	Disabled Facilities Grants	Paper	None	10 Years after last action	Destroy	Operational

	Handyman Service (Small Jobs)	Paper	None	2 Years + current year	Destroy	Herefordshire Council Financial Regulations
	Housing Renewal Policy	Paper	None	10 Years after last action	Destroy	Operational
	ISIS	Paper	None	10 Years after last action	Destroy	Operational
	Kickstart Housing Loans	Paper	None	Date of last payment + 6 Years	Destroy	Herefordshire Council Financial Regulations
	Rapid Responses	Paper	None	2 Years + current year	Destroy	Herefordshire Council Financial Regulations
	Repairs on Prescription	Paper	None	3 Years + current year	Destroy	Herefordshire Council Financial Regulations
	Major Works Assistance - For Landlords - For Leaseholders - For Occupiers	Paper	None	Life of Land Charge 5 (or 10 depending on year of policy) years	Destroy	Herefordshire Council Financial Regulations

	Minor Works Assistance - You @ Home - Health Through Warmth - Overcrowding Assistance and Adaptations	Paper	None	Life of Land Charge 5 (or 10 depending on year of policy) years, not audited	Destroy	Herefordshire Council Financial Regulations
	Home Energy Conservation Act Files	Paper	None	10 years	Destroy	Operational
	Best Value Reviews	Paper	None	5 years	Destroy	Operational
	Inspections	Paper	None	12 years	Destroy	Operational
	ICES	Paper	None	2 years	Destroy	Operational
	Land Charges – works that are subject to a land charge	Paper	None	10 years	Destroy	Operational; processes guided by Local Land Charges Act 1975 and the Local Land Charges Rules 1977
	List of Contractors	Paper	None	6 years	Destroy	Operational
	Loan products available through the Houseproud Scheme (including mortgages)	Paper	None	Date of last payment + 6 years if signed, 12 years if sealed	Destroy	Operational

	Houses in Multiple Occupation (HMO) Licensing	Paper	None	10 years	Destroy	Operational
	Professional and Technical Advice	Paper	None	6 years	Destroy	Operational
	Prosecutions	Paper	None	7 years after last action	Destroy	Operational
	Public Registers	Paper	None	Permanent	Offer to Archives	Operational
	Relocation Assistance	Paper	None	6 years	Destroy	Operational
	Prohibition Orders	Paper	None	Until revoked	Destroy	Operational
	Energy Efficiency Completion Certificates	Paper	None	10 years after issue of certificate	Destroy	Operational
	Enforcement Copies of Letters	Paper	None	2 years plus current year	Destroy	Operational
	Approved Grants Subsequently Cancelled - Inspections	Paper	None	6 years after last action	Destroy	Operational

	Property (Premises) Files - Floor Plans	Paper	None	Permanent	Offer to Archives after administrative use concluded	Operational
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Human Resources		Storage Format	Special Processes	Retention Period	Action	Reason for Retention
	Annual Leave	Paper	None	2 Years	Destroy	Operational
	Personnel Files	Paper	None	12 Years after termination of service (25 years if in contact with children or vulnerable adults)	Destroy	Operational
	Sickness Absence	Paper	None	6 Years (originals)	Destroy	Operational
	Vacancy Information	Paper	None	6 months after vacancy closed	Destroy	Operational

Management		Storage Format	Special Processes	Retention Period	Action	Reason for Retention
	Correspondence	Paper	None	6 Years after resolution of correspondence (2 Years for routine correspondence)	Destroy	Operational
	Minutes of Meetings	Paper	None	2 Years + current year for routine meetings where no key decisions are made Meetings where key decisions affecting the section are made - retain until decision is changed or revoked	Destroy	Operational
	Complaints	Paper	None	6 years	Destroy	Operational
	Diaries	Paper	None	10 years	Destroy	Operational
	Strategies and Policies	Electronic/ Paper	None	Permanent	Give one copy to Archives, dispose of the rest	Operational