



# Homes England

Date: 14 May 2024

Our Ref: RFI4697

Tel: 0300 1234 500

Email: [infogov@homesengland.gov.uk](mailto:infogov@homesengland.gov.uk)

[REDACTED]  
By Email Only

Dear [REDACTED]

## **RE: Request for Information – RFI4697**

Thank you for your request for information which was processed in accordance with the Freedom of Information Act 2000 (FOIA).

You requested the following information:

**Under the FOI could you let me have details of your Records Retention Policy.  
Could you let me know the significance of the "file opening and closing dates.**

### **Response**

We can confirm that we do hold some of the requested information. We will address each of your questions in turn.

**Under the FOI could you let me have details of your Records Retention Policy.**

Please find attached Annex A which contains a copy of Homes England's Records Retention Policy. Please note that this policy is currently in the process of being updated and will eventually be published on our gov.uk website over the course of the next few months.

Some information contained in Annex A has been redacted as it is out of scope. This information relates to the retention policy of the Regulator of Social Housing. The Homes and Communities Agency used to have regulatory responsibilities for social housing. The Housing and Regeneration Act 2008 as amended, established the Regulator for Social Housing in 2018 as a separate legal entity. We therefore consider that information relating to the retention of regulatory information is out of scope.





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Some information contained in Annex A has been withheld under Section 40 (2) of the FOIA.

## Section 40 – Personal information

We have redacted information on the grounds that it constitutes third party personal data and therefore engages section 40(2) of the FOIA.

To disclose personal data, such as names, contact details, addresses, email addresses and personal opinions could lead to the identification of third parties and would breach one or more of the data protection principles.

Section 40 is an absolute exemption which means that we do not need to consider the public interest in disclosure. Once it is established that the information is personal data of a third party and release would breach one or more of the data protection principles, then the exemption is engaged.

The full text in the legislation can be found on the following link:

<https://www.legislation.gov.uk/ukpga/2000/36/section/40>

### **Could you let me know the significance of the "file opening and closing dates.**

We can advise that these dates relate to the first and last piece of correspondence on a case file. These dates are important to record as they trigger reviews of the information for the purpose of retention but they also aid with the location and retrieval of records from our archives.

### **Right to Appeal**

If you are not happy with the information that has been provided or the way in which your request has been handled, you may request an internal review. You can request an internal review by writing to Homes England via the details below, quoting the reference number at the top of this letter.

Email: [infogov@homesengland.gov.uk](mailto:infogov@homesengland.gov.uk)

Information Governance Team  
Homes England  
Windsor House  
6<sup>th</sup> Floor  
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Date: 14 May 2024

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Email: [infogov@homesengland.gov.uk](mailto:infogov@homesengland.gov.uk)

London

SW1H 0TL

United Kingdom

Your request for review must be made in writing, explain why you wish to appeal, and be received within 40 working days of the date of this response. Failure to meet this criteria may lead to your request being refused.

Upon receipt, your request for review will be passed to an independent party not involved in your original request. We aim to issue a response within 20 working days.

You may also complain to the Information Commissioner's Office (ICO) however, the Information Commissioner does usually expect the internal review procedure to be exhausted in the first instance.

The Information Commissioner's details can be found via the following link:

<https://ico.org.uk/>

Please note that the contents of your request and this response are also subject to the Freedom of Information Act 2000. Homes England may be required to disclose your request and our response accordingly.

Yours sincerely,

**The Information Governance Team**

For Homes England



# HOMES AND COMMUNITIES AGENCY (HCA)

## RECORDS RETENTION POLICY

Document Information	
Document owner	s. 40(2)
Issue date	February 2016
Review date	February 2017
Version	5.0
Approved by: (Date)	Finance and Corporate Services Management Team

Version	Date	Name	Comments
1.0	02/10/2008	s. 40(2)	First draft
1.2	20/09/2010	s. 40(2)	Revised & re-issued
1.3	01/04/2012	s. 40(2)	Revised & re-issued
1.4	16/06/2014	s. 40(2)	DRAFT
2	13/07/15	s. 40(2)	Circulated for comment 13 July 2015 s. 40(2) & s. 40(2) Comments 09/09/15
3	17/09/2015	s. 40(2)	s. 40(2) and s. 40 comments and amendments
4	Jan 2016	s. 40(2)	Approved by F&CS Management Team
5	February 2016	s. 40(2)	Circulated to Executive Directors for Operating Areas for comment

## **1 Introduction**

- 1.1** The Homes and Communities Agency's (HCA) Records Retention Schedule assists with the appraisal and disposal of the agency's corporate records. It applies to records in any medium or format, i.e. physical and/or electronic.
- 1.2** This schedule recommends the length of time that each series of records should be retained. It has been compiled with the assistance of the National Archives (TNA) guidance, other government bodies and internal staff and in accordance with legal and professional requirements. Exceptionally, individual records may need to be retained for longer than the suggested period where commercial, operational, legal or programme-specific requirements dictate. (See Exceptions in Section 5)

## **2. Arrangement**

- 2.1** The schedule is arranged according to business function and follows the theme structure of the HCA corporate records classification scheme. This structure is also replicated in an electronic environment on the Structured Filing System, (SFS). It identifies series or classes of records rather than individual documents, enabling macro-disposal decisions.

- 2.2** Out of Scope  
[Redacted]

## **3. Selection of records for permanent preservation**

- 3.1** Selected records from certain themes that meet the required preservation criteria will be offered to the TNA for them to select any which meet their collection criteria. Any records selected will be transferred under section 4(1) of The Public Records Act 1958, which transfers ownership of the records to that body. Reviewed records that are no longer required for business purposes or transferred to TNA will be securely destroyed.

## **4. Theme Structure History**

- 4.1** Themes nos. 98 - 115 were opened from 1998 to hold records from the Commission for the New Towns (CNT). CNT joined with the Urban Regeneration Agency in 1999 to become English Partnerships (EP). Most CNT themes continued to be used until 2004, when they were closed and new ones opened for EP, starting at theme no. 1. There is a separate retention schedule for CNT Themes nos. 98 - 115.
- 4.2** In 2008, EP became the Homes and Community Agency (HCA), joining with the Housing Corporation, the Academy for Sustainable Communities, and some Communities and Local Government staff. Ex-EP themes continued to be used, with further new ones set up as required. However, some purely EP themes were closed, and new versions opened for HCA work as required.

## **5. Exceptions**

### **5.1 Compulsory Purchase Order (CPO) records**

All records relating to Compulsory Purchase Orders must be kept for 15 years, regardless of individual Theme retention period, and must then be reviewed by the Legal Department who will advise whether destruction can take place.

### **5.2 European Funding Mechanism records**

All records of projects delivered with European Regional Development Fund (ERDF) grants, (or other European funding) must be retained for the period required by the rules of the programme. As at July 2015, there is a requirement to retain all ERDF documentation until three years after the final payment made on the programme or 31 December 2025 whichever is the later. The scheme-specific retention requirements can be viewed here: <https://www.gov.uk/previous-erdf-programmes-retaining-documents>. This is a legal requirement and overrides any period stated in the relevant Theme.

### **5.3 Unsuccessful tenders & competition entry records**

Unsuccessful tenders and competition entries (other than those related to ERDF programmes) should be kept for 1 year past the closing date of the tender, and then securely destroyed in department ONLY if no appeals, complaints or investigations are already under way. Successful tenders and entries should be filed and stored under the relevant Theme retention.

### **5.4 Derelict Land Grant records**

All records relating to Derelict Land Grant funding have a retention period of 50 years, and this overrides any individual theme retention period. This retention period has been stipulated by Corporate Finance who has advised that sums may be reclaimable for the duration..

### **5.5 Non-classified records**

Other administrative records and routine administrative records, such as circulars, papers and minutes from external bodies, should be held as long as required by their respective Department. These are not required to be registered on creation or archived at the end of their use. They are to be destroyed in Department when no longer required.

### **5.6 Deeds, contracts and other original signed or sealed documents**

Nothing in the following table applies to deeds, contracts and other original signed or sealed documents that are stored in deed packets. The rules applicable to such deeds and documents are set out in Appendix 1 which is available.

### **5.7 Deferred payment obligations and contingent liabilities**

Where a project involves a contingent liability or a deferred payment obligation (eg Milton Keynes Home Purchase incentive), all records must be kept for 12 years

following the final date for repayment of the sums due. This date **MUST** be notified to Records Management when documents are sent to storage. Documents will not be accepted by Records Management unless this date is provided.

## 6. Alphabetical listing of HCA themes

51	ACCOUNTING
36	AREA MANAGEMENT
33	ASSET SALES
4	ASSURANCE
7	BEST PRACTICE
55	BUSINESS APPRAISAL
57	CAR LEASING
59	CARBON CHALLENGE
11	COALFIELDS
64	COMMUNITY INFRASTRUCTURE FUNDING
22	COMPLIANCE
24	CONTAMINATED LAND
16	CORPORATE MARKETING
20	DIRECTOR
75	ECONOMIC ASSET MANAGEMENT
9	ECONOMICS
29	ENGLISH CITIES FUND
32	ESTATE MANAGEMENT
1	EXECUTIVE
61	EXECUTIVE OFFICE
46	EXTERNAL PLANNING ADVICE
41	FACILITIES
53	FINANCE SYSTEMS AND SUPPORT
50	FINANCIAL CONTROL
52	FINANCIAL MONITORING

15	GRANTS AND FUNDING
XX	HCA-I [numbering will be allocated when Records Management receive file structure from HCA-I].
77	HCA HEALTH AND SAFETY
69	HCA LEGAL SERVICES
76	HCA SECRETARIAT
14	HEALTH AND SAFETY
60	HOMES AND COMMUNITIES ACADEMY
65	HOUSING GROWTH
73	HOUSING MARKET RENEWAL
72	HOUSING PRIVATE FINANCE INITIATIVE
23	INFORMATION ACCESS
6	INFORMATION TECHNOLOGY
44	INTERNAL CORPORATE CONSULTANCY
45	INTERNAL PROJECTS CONSULTANCY
71	KICKSTART
13	LAND STABILISATION
30	LEGAL
31	LIABILITY TRANSFERS
49	LOW CARBON INFRASTRUCTURE FUND
67	MARKET INTELLIGENCE
34	MILLENNIUM COMMUNITIES
10	MILTON KEYNES PARTNERSHIP
25	NETWORK SPACE
40	PAYROLL
39	PENSIONS

18	HUMAN RESOURCES (FORMERLY PERSONNEL)
2	POLICY MANAGEMENT
26	PRIORITY SITES
56	PROCUREMENT AND TENDERING
43	PROGRAMME MANAGEMENT
37	PROJECTS
21	PROJECTS MONITORING
63	PUBLIC LAND INITIATIVE
17	PUBLIC RELATIONS
5	RECORDS MANAGEMENT
66	REGIONAL COMMUNICATIONS
38	REGIONAL PROJECT SUPPORT
70	RENEWABLE HOUSE PROGRAMME
54	RISK MANAGEMENT
8	SECRETARIAT
74	STOCK TRANSFER
42	STRATEGIC BUSINESS PLANNING
19	STRATEGIC JOINT VENTURES
62	STRATEGY, PROGS & PERFORMANCE
48	SURPLUS PUBLIC SECTOR LAND
78	SUSTAINABLE OPERATIONS
68	TRANSPARENCY AGENDA
58	URBAN FINANCE
35	URBAN REGENERATION COMPANIES

7. Retention Schedule					
FLOC Theme	Record Category	Description	Examples	Retention period	Disposal
1	Executive	Corporate governance, chief executive and board for English Partnerships	<ul style="list-style-type: none"> <li>Board minutes and papers (Unredacted)</li> <li>Central government guidance</li> <li>Corporate &amp; Regional policy</li> <li>Major Project Involvement</li> </ul>	7 years	Offer to TNA. Destruction if not required.
		Complaints section (1/4/..) Details of complaints and how they were handled	<ul style="list-style-type: none"> <li>Case records               <ul style="list-style-type: none"> <li>Annual report and accounts, consolidated financial statements, statement of financial position, operating statements</li> </ul> </li> </ul>	3 years	Destruction
		Financial corporate reporting		Permanent	N/A
2	Policy	Records of corporate and regional policy, interpretation of relevant government policy, environmental policy, portfolio and planning	<ul style="list-style-type: none"> <li>Corporate and regional plans</li> <li>Partnership investment programme</li> <li>Planning and regional policy guidance</li> <li>Housing, urban and rural policy</li> <li>Environmental policy</li> </ul>	7 years	Offer to TNA. Destruction if not required
3	Communications	Ex-EP Communications - Corporate Promotions	<ul style="list-style-type: none"> <li>Events and Exhibitions</li> </ul>	3 years	Destruction
4	Corporate Assurance	Audit & assurance matters	<ul style="list-style-type: none"> <li>Audit reports</li> <li>Operational audit final reports</li> </ul>	7 years	Destruction
5	Records Management	Documentation of record keeping systems, records held, storage, classification schemes, retention schedules, policy and guidance	<ul style="list-style-type: none"> <li>Records policy, guidance and services</li> <li>Information surveys and records audits</li> <li>Classification schemes</li> <li>Registers</li> <li>Indexes</li> <li>Authorised lists of file headings</li> </ul>	Permanent	
6	Information Technology	Records relating to procurement, contracts and licensing of IT hardware and software applications, policies, user support and training	<ul style="list-style-type: none"> <li>Software licenses</li> <li>IT policies and guidance</li> <li>Infrastructure maintenance</li> </ul>	While application in use, until superseded	Check with IT department, then Destruction
		Information Security 6/4/...	<ul style="list-style-type: none"> <li>IAI Risk Registers</li> <li>ISO27001 documents e.g. Internal audit reports, ISMS schedule, minutes</li> <li>ITHC reports</li> </ul>	5 years	Destruction
7	Best Practice	Best practice guidance and standards	<ul style="list-style-type: none"> <li>Best practice guidance notes</li> </ul>	7 years	Destruction
8	Secretariat	Records documenting formation of the agency and its predecessor bodies, management and governance, and records of decisions made by the board and other top level committees	<ul style="list-style-type: none"> <li>Subsidiary company details</li> <li>Hospitality Register</li> <li>Register of Interests</li> </ul>	7 years	Offer to TNA. Destruction if not required

7. Retention Schedule					
FLOC Theme	Record Category	Description	Examples	Retention period	Disposal
		Sealing and signing registers section 8/5/3/...	<ul style="list-style-type: none"> <li>Register Books</li> </ul>	7 years	Offer to TNA; Destruction if not required
9	Economics	Documentation of economic analysis and project appraisal, economic impact assessments	<ul style="list-style-type: none"> <li>Economic appraisals</li> <li>Project data</li> </ul>	7 years	Destruction
10	Milton Keynes Partnership	Milton Keynes local projects	<ul style="list-style-type: none"> <li>See <b>Projects (37)</b></li> </ul>	10 years	Destruction
11	Coalfields	Management of the Coalfields programme, policy, sites and projects, liaison with internal groups and external stakeholders, governance	<ul style="list-style-type: none"> <li>See <b>Projects (37)</b></li> </ul>	10 years	Destruction
13	Land Stabilisation	Documents relating to land stabilisation projects, eg mines & quarries	See <b>Projects (37)</b>	15 years	Destruction
14	Health and Safety	<p>Records showing compliance with relevant health and safety legislation</p> <p>Records relating to areas where employees and other persons are likely to have been exposed to asbestos (including health records and medical surveillance)</p>	<ul style="list-style-type: none"> <li>Policies and Procedures</li> <li>Incident reports</li> <li>Reportable injuries, diseases and dangerous occurrences</li> </ul>	<p>6 years.</p> <p>40 years</p>	Destruction
15	Grants and Funding	Records relating to funding schemes for Derelict Land Grant and City Grant (see note 5.4)	<ul style="list-style-type: none"> <li>Derelict Land Grant &amp; City Grant</li> </ul>	50 years	Destruction
16	Corporate Marketing	Records relating to promotion, marketing, and corporate websites	<ul style="list-style-type: none"> <li>Policy and administration</li> <li>Agency publications</li> <li>Presentation boards</li> <li>Image library records (CILA), slides, photographs</li> <li>Commemorative memorabilia</li> <li>Corporate website</li> </ul>	3 years	<p>Destruction</p> <p>N.B. Copies of Publications are deposited at British Library</p> <p>TNA take snapshots of corporate websites</p>
17	Public Relations	Public relations and dealings with the media	<ul style="list-style-type: none"> <li>Press releases</li> <li>Press conference reports/previews</li> </ul>	3 years	Destruction

7. Retention Schedule					
FLOC Theme	Record Category	Description	Examples	Retention period	Disposal
18	Human Resources	Documentation relating to recruitment, employment of staff, performance, training, health, terms and conditions, salaries, expenses, pensions (other than individual employee records)  Individual employee information (individual HR files)	<ul style="list-style-type: none"> <li>• Correspondence with media</li> <li>• Policy files, HR procedures and other non-HR named files</li> </ul>	6 years  7 years from termination of employment. HR <b>must</b> notify Records Management of date of termination of employment – HR files will be treated as Permanent until such notification is received by Records Management.	Destruction  Destruction
19	Strategic Ventures	Strategically important programmes	<ul style="list-style-type: none"> <li>• See Projects (37)</li> </ul>	7 years (unless notified to the contrary by Project Manager when documents sent to Records Management)	Destruction
20	Directors	Senior Level correspondence and project involvement	<ul style="list-style-type: none"> <li>• Project files</li> <li>• Local policy</li> <li>• Local liaison</li> </ul>	7 years (unless notified to the contrary by Project Manager when documents sent to Records Management)	Destruction
21	Projects Monitoring	Financial monitoring of projects systems and administration of Project Control System	<ul style="list-style-type: none"> <li>• Project Data systems</li> <li>• Reporting</li> <li>• Output analysis</li> </ul>	7 years (unless notified to the contrary by Project Manager when documents sent to Records Management)	Destruction
22	Compliance	Ensuring Agency compliance	<ul style="list-style-type: none"> <li>• Project compliance reviews</li> </ul>	3 years	Destruction
23	Information Access	Records relating to the policy and procedures for handling FOI requests	<ul style="list-style-type: none"> <li>• Policy and procedures for handling requests and for implementation of FOI</li> </ul>	7 years	Destruction

7. Retention Schedule					
FLOC Theme	Record Category	Description	Examples	Retention period	Disposal
		Details of individual requests and how they were handled and access status records	<ul style="list-style-type: none"> <li>• Case records</li> <li>• Decisions regarding access to documents</li> </ul>	3 years	Destruction
24	Contaminated Land	Key documents relating to contaminated land and reclamation work	<ul style="list-style-type: none"> <li>• Contaminated land projects</li> </ul>	12 years (unless notified to the contrary by Project Manager when documents sent to Records Management)	Destruction
25	Network Space	General, policy and site records	<ul style="list-style-type: none"> <li>• See Projects (37)</li> </ul>	7 years (unless notified to the contrary by Project Manager when documents sent to Records Management)	Destruction
26	Priority Sites	General, policy and site records	<ul style="list-style-type: none"> <li>• See Projects (37)</li> </ul>	7 years (unless notified to the contrary by Project Manager when documents sent to Records Management)	Destruction
29	English Cities Fund	Funding regime	<ul style="list-style-type: none"> <li>• Projects and expenditure</li> </ul>	7 years (unless notified to the contrary by Project Manager when documents sent to Records Management)	Destruction
30	Legal Services	Legal case files and transmittal documents.	<ul style="list-style-type: none"> <li>• Case files</li> <li>• Transmittal documents</li> </ul>	6 years	Destruction
31	Liability Transfer	Records and files dealing with acquisitions, sales and disposal of land and property and management of estates (but not actual transfer schemes, which must be retained permanently)	<ul style="list-style-type: none"> <li>• Case files</li> </ul>	6 years	Destruction
32	Estate Management	Management of owned land and property	<ul style="list-style-type: none"> <li>• Property management Ground rent files</li> </ul>	12 years date of disposal or life of the building, whichever is the earlier . AMES/Operating Area must notify Records Management of date of	Destruction

7. Retention Schedule					
FLOC Theme	Record Category	Description	Examples	Retention period	Disposal
				disposal or demolition of building	
33	Asset Sales	Sale or disengagement from property and land	<ul style="list-style-type: none"> <li>• Acquisitions and sale case files</li> <li>• Sale completion statements</li> <li>• Housing management files</li> <li>• Former tenant files</li> </ul> Valuations & sales negotiations	12 years from date of disposal or life of the building or property, whichever is the longer. AMES/Operating Area must notify Records Management of date of disposal or demolition of building	Destruction
34	Millennium Communities	Records relating to the management of Millennium Community programmes and projects	<ul style="list-style-type: none"> <li>• See Projects (37)</li> </ul>	7 years (unless notified to the contrary by Project Manager when documents sent to Records Management)	Destruction
35	Urban Regeneration Companies	Records relating to URC dealings with HCA and predecessor bodies, joint projects	<ul style="list-style-type: none"> <li>• See Projects (37)</li> </ul>	12 years	Destruction
36	Area Management	Team leaders projects and policies information	<ul style="list-style-type: none"> <li>• Local policy</li> <li>• Project management</li> </ul>	7 years	Destruction
37	Projects	Documentation relating to projects and their management from conception through to completion	<ul style="list-style-type: none"> <li>• Project proposals - approved</li> <li>• Project initiation documents and supporting documentation</li> <li>• Feasibility studies - reports</li> <li>• Plans and specifications</li> <li>• Land, geological and soil surveys</li> <li>• Maps, plans, drawings and photos</li> <li>• Masterplans</li> <li>• Planning consents and authorisations</li> <li>• Development/feasibility studies</li> <li>• Information on services and drainage</li> </ul>	7 years (unless notified to the contrary by Project Manager when documents sent to Records Management)	Destruction  Offer paper files to TNA if applicable; Destruction if not required  Note: Projects delivered with ERDF are subject to separate ERDF timescales – see paragraph 5.2 above.
38	Regional Project Support	Financial and Communications support to Regional teams	<ul style="list-style-type: none"> <li>• Local publicity</li> <li>• Local budgetary control</li> <li>• Asset valuations</li> </ul>	7 years	Destruction
39	Pensions	Individual Pensions records and entitlements	<ul style="list-style-type: none"> <li>• Pension contributions</li> </ul>	Destroy 6 years after date of last pension payment or 6 years after transfer out of scheme. HR to notify of payment or transfer. Treat as Permanent until notification received by Records Management	Destruction

7. Retention Schedule					
FLOC Theme	Record Category	Description	Examples	Retention period	Disposal
40	Payroll	Salaries and related records	<ul style="list-style-type: none"> <li>Employee pay histories</li> <li>Salary rates register</li> </ul>	As 18 above	Destruction
41	Facilities	Records relating to office buildings, rent and rates, utilities, maintenance, purchasing of office supplies and suppliers  All files under : 41/1/13 /20 41/1/16 /21 41/1/19/17 41/1/26/16	<ul style="list-style-type: none"> <li>Buildings maintenance schedules, reports and installations surveys</li> <li>Maps, plans and drawings</li> <li>Approved suppliers list</li> <li>Purchase orders, costs and other purchasing records</li> <li>Correspondence files relating to leases and service agreements</li> </ul>	12 years (but see 14 above and note 5.6)	Destruction
42	Strategic Business Planning	Corporate planning, Business planning, Strategic planning	<ul style="list-style-type: none"> <li>Corporate Key Performance indicators</li> <li>Strategic initiatives</li> <li>Ministerial presentations</li> </ul>	5 years	Destruction
43	Programme Management	Project Gateway processes, delegations. & stakeholder management	<ul style="list-style-type: none"> <li>Diversity monitoring</li> <li>Project Gateway process</li> <li>Risk Management reports</li> </ul>	6 years	Destruction
44	Internal Corporate Consultancy	Records relating to the establishment and management of panels of consultants, research dissemination and liaison with various stakeholders	<ul style="list-style-type: none"> <li>Panel information</li> <li>Liaison with government departments and the regions</li> <li>Research reports</li> </ul>	6 years	Destruction
45	Internal Projects Consultancy	Advice and consultancy relating to projects	<ul style="list-style-type: none"> <li>Consultant appointment system</li> <li>Tender process</li> <li>Panel Management</li> </ul>	6 years	Destruction
46	External Planning Advice	Projects, research, planning advice and stakeholder liaison	<ul style="list-style-type: none"> <li>Local delivery partnership liaison</li> <li>Project data</li> <li>Policy Research</li> </ul>	6 years	Destruction
47	National Health Service Estates	Records relating to valuations, enquiries, tenders and sites	<ul style="list-style-type: none"> <li>See <b>Projects (37)</b></li> </ul>	12 years	Destruction
48	Surplus Public Sector Land	Liaison with land owners & projects taskforce	<ul style="list-style-type: none"> <li>Site projects</li> <li>Register of sites</li> <li>Preliminary assessments</li> </ul>	12 years from disposal of land by HCA. Project manager to notify Records Management of date of disposal	Destruction

7. Retention Schedule					
FLOC Theme	Record Category	Description	Examples	Retention period	Disposal
49	Low Carbon Infrastructure Fund	Funding regime	<ul style="list-style-type: none"> <li>• Procurement and tendering process</li> <li>• Project data</li> <li>• Publicity events</li> </ul>	7 years	Destruction
50	Financial Control	Records relating to liaison with the agency's sponsoring body (CLG), tax advisors and auditors, resource management  ERDF funding data [50/3...]	<ul style="list-style-type: none"> <li>• Financial statements and summaries for annual report</li> <li>• ERDF</li> </ul>	7 years  ERDF – see note 5.2 above	Destruction
51	Accounting	Includes bank account records, expenditure, ledgers, receipts and revenue, and other accountable financial documents	<ul style="list-style-type: none"> <li>• Bank statements</li> <li>• Cheque counterfoils, paying in books, cheque books</li> <li>• Record of cheques drawn for payment</li> <li>• Bank reconciliations</li> </ul>	6 years	Destruction
52	Financial Monitoring	Covers budgeting, management reporting, government grant in aid, inherited liabilities and maintenance of the corporate finance system	<ul style="list-style-type: none"> <li>• Financial management Reports</li> <li>• Grant in Aid reporting</li> </ul>	6 years	Destruction
53	Financial Systems and Support	Income billing, collection, debtors, creditors and payment records	<ul style="list-style-type: none"> <li>• Rent records</li> <li>• Redeemed mortgages</li> <li>• Debtors records</li> </ul>	6 years from recovery or write off	Destruction
54	Risk Management	Policies relating to public and employers' liability, insurance claims and schedules (retained as stipulated in Employers' Liability (Compulsory Insurance) Regulations 1998 SI 1998 No 2573)	<ul style="list-style-type: none"> <li>• Policies</li> <li>• Insurance claims</li> <li>• Insurance schedules</li> </ul>	40 years (statutory requirement)	Destruction
55	Business Appraisal	Appraisal of companies and organisations such as developers and suppliers of goods and services	Financial appraisal reports	7 years from end of contract	Destruction
56	Procurement and Tendering	Tenders and related procurement documentation	<ul style="list-style-type: none"> <li>• Tendering policy</li> <li>• Agreed specification, evaluation criteria, invitation to tender</li> <li>• Successful tenders, assessment sheets (ITT and PQQ stage)</li> </ul>	Destroy 12 years after contract termination (or if contract does not proceed, 1 year after decision not to proceed)  1 year (If no appeal or complaint underway). See note 5.3	Destruction  Destruction

7. Retention Schedule					
FLOC Theme	Record Category	Description	Examples	Retention period	Disposal
			<ul style="list-style-type: none"> <li>• Unsuccessful Tenders</li> </ul>		
57	Car Leasing	Records of pool cars, staff with lease cars, insurance and P11D (statement of benefits)	<ul style="list-style-type: none"> <li>• Lease &amp; Pool cars</li> <li>• P11D responses</li> </ul>	6 years after end date of lease	Destruction
58	Urban Finance	Funding regime for local asset backed vehicle projects	<ul style="list-style-type: none"> <li>• Projects files</li> <li>• Policy and procedures</li> </ul>	7 years	Destruction
59	Carbon Challenge	Records relating to the Carbon Challenge programme, sites and partners	<ul style="list-style-type: none"> <li>• See <b>Projects (37)</b></li> </ul>	15 years	Destruction
60	Homes and Communities Academy	Skills gaps diagnostics, organisation of practical support programmes for priority places and employment and skills programmes	<ul style="list-style-type: none"> <li>• Projects files</li> <li>• Events and training files</li> <li>• System development</li> <li>• Output analysis</li> </ul>	3 years	Destruction  Note: Any Projects delivered with ERDF grants dealt with in accordance with Note 5.2 above.
61	Executive Office	Records relating to corporate governance, chief executive and board	<ul style="list-style-type: none"> <li>• Board minutes and papers</li> <li>• Central government guidance</li> <li>• Corporate &amp; Regional policy</li> <li>• Major Project Chief Exec. Involvement</li> </ul>	7 years	Offer to TNA, Destruction if not required.
62	Strategy, Programme & Performance	Local regional policy and investment support work	<ul style="list-style-type: none"> <li>• Financial investment decisions</li> <li>• Local Authority Bids</li> <li>• Continuous Market Engagement</li> </ul>	7 years	Offer to TNA, Destruction if not required.
63	Public Land Initiative	Funding regime	<ul style="list-style-type: none"> <li>• Projects and funding application details</li> </ul>	7 years (unless notified to the contrary by Project Manager when documents sent to Records Management)	Destruction
64	Community Infrastructure Funding	Funding regime	<ul style="list-style-type: none"> <li>• Projects and funding application details</li> </ul>	7 years (unless notified to the contrary by Project Manager when documents sent to Records Management)	Destruction
65	Housing Growth	Funding regime	<ul style="list-style-type: none"> <li>• Projects and funding details</li> </ul>	7 years (unless notified to the contrary by Project Manager when documents sent to Records Management)	Destruction
66	Regional Communications	Local Regional Communication managers	<ul style="list-style-type: none"> <li>• Advertising &amp; Sponsorship &amp; Events</li> <li>• Digital Communications</li> <li>• Marketing Collateral</li> <li>• Media, Public Affairs</li> <li>• Projects</li> </ul>	3 years	Destruction
67	Market Intelligence	Regular updates, Regional overviews and briefings	<ul style="list-style-type: none"> <li>• Delivery Partner Profiles</li> </ul>	5 years	Destruction

7. Retention Schedule					
FLOC Theme	Record Category	Description	Examples	Retention period	Disposal
68	Transparency Agenda	Release of expenditure data to comply with Government target	<ul style="list-style-type: none"> <li>Projects and Contract details</li> </ul>	10 years	Destruction
69	HCA Legal	Legal policy, procedures and correspondence	<ul style="list-style-type: none"> <li>Case files and transmittal documents</li> </ul>	6 years	Destruction  [All contracts, deeds & legally signed documents are held separately – see Appendix]
70	Renewable House Programme	Funding regime operated in conjunction with DECC	<ul style="list-style-type: none"> <li>See Projects (37)</li> </ul>	7 years (unless notified to the contrary by Project Manager when documents sent to Records Management)	Destruction
71	Kickstart	Funding regime	<ul style="list-style-type: none"> <li>See Projects (37)</li> </ul>	7 years (unless notified to the contrary by Project Manager when documents sent to Records Management)	Destruction
72	Housing Private Finance Initiative	Funding regime	<ul style="list-style-type: none"> <li>See Projects (37)</li> </ul>	7 years (unless notified to the contrary by Project Manager when documents sent to Records Management)	Destruction
73	Housing Market Renewal	Funding regime	<ul style="list-style-type: none"> <li>See Projects (37)</li> </ul>	7 years (unless notified to the contrary by Project Manager when documents sent to Records Management)	Destruction
74	Stock Transfer	Land transfer programme to Local Authorities	<ul style="list-style-type: none"> <li>See Projects (37)</li> </ul>	10 years from last payment	Destruction
75	Economic Assets Management	Documentation relating to management of property and assets inherited from 8 Regional Development Agencies	<ul style="list-style-type: none"> <li>See Projects (37)</li> </ul>	15 years	Destruction
76	HCA Secretariat	Records documenting formation of the agency and its predecessor bodies, management and governance, and records of decisions made by the board and other top level committees	<ul style="list-style-type: none"> <li>Major committee papers</li> <li>Subsidiary company details</li> <li>Hospitality Register</li> <li>Register of Interests</li> </ul>	10 years  7 years	Offer to TNA, Destruction if not required  Destruction
77	HCA Health and Safety	Records showing compliance with relevant health and safety legislation	<ul style="list-style-type: none"> <li>Policies and Procedures</li> <li>Incident reports</li> <li>Reportable injuries, diseases and dangerous occurrences</li> </ul>	See 14 above	Destruction
78	Sustainable Operations	Insuring sustainable operations within HCA buildings	<ul style="list-style-type: none"> <li>Policies</li> <li>Procedures</li> <li>Project specific working guidelines</li> </ul>	7 years	Destruction
XX [TBC]	HCA-I	Investment Funding - Know Your Customer (KYC)	<ul style="list-style-type: none"> <li>Records establishing identity &amp; verifying address of Directors, Owners</li> </ul>	5 years after full repayment of loan.	Destruction

7. Retention Schedule					
FLOC Theme	Record Category	Description	Examples	Retention period	Disposal
			& Partners in bidding entity • Records establishing & identifying the Ultimate Beneficial, Owner(s) and Principal Controllers	Records Management to be notified by HCA-I of repayment date.	

# Out of Scope

## Appendix 1 – original documents

In this Appendix, “review” means that the Head of Legal, Deputy Head of Legal or a Principal Solicitor must take the decision as to whether any document listed in the Appendix should be destroyed. The reviewer must consult where appropriate with the Operating Area or Land team involved in the transaction to which the document in question relates.

	Document type	Destruction/review
1.	Signed contracts (other than contracts for the sale of land and for building works)	Destroy 6 years after the term of contract has expired
2.	Sealed contracts (other than contracts for the sale of land and for building works)	Destroy 12 years after the term of contract has expired
3.	Contracts for building works, including appointment of architect, building contractor, quantity surveyor etc	50 years after contract has been entered into
4.	Contracts for sale of land Development agreements Building agreements (including agreements for lease with construction obligations) Transfer schemes	Never – retain permanently with deeds
5.	Agreements for lease with no construction obligations	Review when lease reviewed under 12 below
6.	Funding agreements containing clawback provisions	Review on clawback longstop date
7.	Funding agreements – no clawback provisions	Review 6 years from date of project close or from date of last payment
8.	Highways agreements (section 38, section 278, dedication agreement etc)	Never – retain permanently with deeds
9.	Planning agreements (section 106 agreement or undertaking)	Never – retain permanently

		with deeds
10.	Compulsory purchase order and vesting declaration	Never – retain permanently with deeds
11.	Conveyances, transfers, deeds of easement, deeds of covenant, deed of surrender/release, mortgages/charges, release of mortgage or charge	Never – retain permanently with deeds
12.	Lease granted by Agency or to Agency, including Landlord and Tenant Act 1954 contracting out documentation	Review 6 years after lease has terminated; retain if tenant is still occupying (eg on a subsequent lease or statutory holding over under Landlord and Tenant Act 1954)
13.	Site investigation licence or tower crane licence	Review 3 years after development /works completed
14.	Tenancy agreement for residential property including service tenancy or service occupancy, including notice to quit and court documentation	Review 1 year after possession obtained
15.	Tenancy at will or licence to occupy	Review 1 years after possession obtained
16.	Replies to pre-contract enquiries, site investigation reports (including those for legionella testing and asbestos management) and local search results	Permanent – keep with deeds