



Roman Catholic Archdiocese of Southwark

Finance Office Retention Schedule

Version 1.0

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Introduction

The Roman Catholic Archdiocese of Southwark Finance Office Retention Schedule attempts to identify processes, rather than identifying individual types of records. This is for two reasons:

- To have the retention period apply to all records independent of format, i.e. **the same rules apply to a paper file, an e-mail or another electronic document/digital file**
- To allow flexibility in developing the schedule to cover new processes and amend existing ones over time.

The Schedule is intended to cover the lifecycle of records and information from creation through to destruction, permanent retention or preservation.

Records intended for destruction under the Schedule may be destroyed in accordance with the provisions of the Schedule. Backup copies stored on alternative media (server/microfilm/paper) should also be destroyed. Typical methods to destroy electronic records, which include holding media such as optical, magnetic and solid state storage, are overwriting, degaussing and physical destruction. Advice shall be sought from the ICT team when considering the destruction of such media. In all instances (physical and electronic) where ICT storage media is destroyed a certificate of destruction shall be provided and held as a permanent record. This is vital to ensure compliance with the requirements of Data Protection legislation.

Limitation of Scope

Very few types of records have specified time periods for retention in law or in official government guidance. Where such requirements and advice exists it is included in this Schedule. Where advice does not exist, it is up to the Finance Office to decide how long it wishes to retain records. This Schedule gathers together retention criteria from a comprehensive best practice review of a wide range of guidance.

Objectives of the Retention Guidelines

The aims of the Guideline are to:

- Prevent the premature destruction of records that need to be retained for a specified period to satisfy legal, financial and other requirements of public administration
- Provide consistency for the destruction of those records not required permanently after specified periods in order to reduce the costs of unnecessary storage
- Promote improved Records Management practices within the Finance Office which gives confidence that when information is destroyed it is done so according to well-considered rules
- Create space by following procedures to ensure the timely destruction of records



- Assist in identifying records that may be worth preserving permanently as part of the Diocesan Archive

Responsibility

It is the responsibility of all staff to follow the guidance provided in the Retention Schedule and ensure that proper Records Management practices are implemented into their everyday work.

Destruction of Records

Whenever there is the possibility of litigation, the records and information that are likely to be affected should not be amended or disposed of until the threat of litigation has been removed.

Records that are currently (or likely to be in the future) the subject of a Data Protection or GDPR official request or appeal, then they must not be destroyed until that request or appeal has been completed. **To knowingly destroy a record when it is subject to a request/ complaint is an offence.**

All members of staff must have any destruction approved by their manager by filling in the 'Records Disposal Form' which can be found on the FO Information Drive. This information is also kept in a separate log. This log cannot be disposed because it is evidence of when, how and why the records have been destroyed. This log has security privileges applied, ensuring that only managers have access to edit and write over content.

General and Miscellaneous Records

There are some records that do not need to be kept at all that staff may routinely destroy in the normal course of business.

This usually applies to information that is duplicated, unimportant or only of short-term value. Unimportant records or information include:

- 'With compliments' slips
- Printed catalogues and trade journals
- Telephone message slips
- Non-acceptance of invitations
- Trivial electronic mail messages or notes that are not related to Finance Office business
- Requests for stock information
- Out-of-date distribution lists

Duplicated and superseded material such as manuals, drafts, forms, address books and reference copies of annual reports may be destroyed under this rule. Electronic copies of documents where a hard copy has been printed and filed, and paper faxes after making and filing a photocopy, are also covered.



Reviewing the Schedule

The schedule will be regularly reviewed by the Financial Secretary and the Archivist and updated to ensure that the Finance Office is complying with the latest legal advice. These changes will be reflected as soon as possible. Changes will be highlighted so that staff can keep track and modify their practices accordingly. The Schedule will be subject to the timetable for general review.

Explanation of Retention Guideline Headings

The Schedule is structured according to two levels of categorisation - the main functions of the Finance Office and sub-categorisation into more specific groups [Figure One].

Function	Activity	Process	Retention Period	Record Types	Reason	Source
Financial Management	Payroll/ Financial Processing	Accountable processes relating to payment of employees	Destroy six years + current year	Income tax records re employees leaving i.e. P45	Taxes Management Act	1

[Figure One]

Function

The Schedule has been divided to cover the main functions of the Finance Office. These are Financial Management, Human Resources, Property Management, Strategic Management, Clergy, Schools, and General Administration.

Activity

This field relates to the specific activities within each function.

Process

The Schedule provides a description of a process or an activity that the records support. The Schedule may also include instructions or guidelines relating to weeding, sampling, instructions on disposal, information on duplication of record content in other classes and cross-references to other entries within the Schedule.



Retention Period

This field shows the length of time for which a record should be kept. This period (usually in years) can be applied from the date a record is closed or tied in to another specified activity.

If there are multiple retentions that are applicable to a record group apply the longest retention – *it is better to retain for longer if you are in doubt.*

Record Type

This section provides common examples of the type of records included within the particular function. The types provided here are not exhaustive. Associated records with this function have the same retention applied.

Correspondence relating to the activity is automatically included in the record type. The correspondence can be appraised at a later date and if deemed necessary it can be destroyed.

Reason

This indicates if the retention action is common practice or statutory, plus any other useful information. As far as possible specification legislation has been cited.

Source

This indicates where this retention period has been sourced from. The table contains a reference number, for which the full details can be found in the index at the end of the document.



Glossary of Terms

Administrative Use

When business use has ended or the file has been closed.

Closure

Example: Destroy 'x' years from closure

A record/ file should be closed when it ceases to be active. Records/ files can be closed when:

- They reach an unmanageable size (a new volume should be created)
- They cover 'x' years i.e. a maximum time period
- No more records have been added in 'x' years or another specified set period of time
- No action has taken place after 'x' period of time

Closure Period

Specified period of time during which the record is subject to restrictions on provision of access to staff and/or the public may be dictated by statutory requirements or by the authority's policy. Any closure period should comply with current legislation on access to information – including the Data Protection Act and GDPR.

Common Practice

Standard practice followed for specific activities.

Last Action

Destroy 'x' years after last action. Date of most recent addition/ amendment/ deletion of information.

Permanent

Records that must be kept indefinitely (or for approximately 100 years) for legal and/or administrative purposes, and/or are of enduring value for historical research purposes.



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1. Financial Management

Function	Activity	Process	Retention Reference Number	Retention Period	Record Types	Reason	Source
Financial Management	Payroll/ Financial Processing	Accountable processes relating to payment of employees	1.1.1	Destroy six years + current year	Income tax records re employees leaving i.e. P45	Taxes Management Act	1
					Notice to employer of tax code (P6)	Taxes Management Act	
					Annual return of employees and directors expenses and benefits (P11D)	Taxes Management Act	
					Certificate of pay and tax deducted (P60)	Taxes Management Act	
					Notice of tax code change	Taxes Management Act	
					Annual return of taxable pay and tax deducted	Taxes Management Act	
					Records of pension deductions (including superannuation)	Taxes Management Act	
					Payroll and payroll control account	Companies Act/ Charities Act and Taxes Management Act	
			1.1.2	Destroy six years + current year	Expense accounts for individuals	Taxes Management Act	
					Expense payments for courses/supplies/travel		
					Grant payments		
					Approvals/agreements for expenses		
					Wage and salary records		
1.1.3	Destroy three years after the end of the tax year in which maternity	Statutory Maternity Pay records or calculations	The Statutory Maternity Pay Regulations				



Function	Activity	Process	Retention Reference Number	Retention Period	Record Types	Reason	Source
				periods ends			
			1.1.4	Destroy three years after the end of each tax year for Statutory Sick Pay purposes	Statutory Sick Pay records or calculations	Statutory Sick Pay (General) Regulations	
			1.1.5	Destroy three years after the end of each tax year against which a claim for the Employment Allowance has been made	Employer National Insurance Contributions	National Insurance Contributions Act 2014 - Section 7 (1) to (6) Social Security Administration Act 1992 – Section 110 ZA	2
Financial Management	Financial Transactions Management	Identification of the receipt, expenditure and write offs of monies including records and invoices relating to debtors, debits and refunds	1.2.1	Destroy six years from the end of the financial year in which the transaction was made <i>If Marriage Tribunal payment ten years (Canon Law/Common Practice)</i>	Payments cash book or record of payments made	Companies Act/ Charities Act	2
					Purchase ledger		
					Invoice - revenue		
					Petty cash records		
					Bank paying in counterfoils		
					Bank statements		
					Bank reconciliations		
					Bills		
					Opening/closing of bank accounts		
					Grant payments		
Receipts	Statutory	3					
			1.2.2	Destroy one month +	Remittance advices		



Function	Activity	Process	Retention Reference Number	Retention Period	Record Types	Reason	Source
				current date			
Financial Management	Financial Transactions Management	Financial contributions or payments made by Parishes determined through Parish Assessments. <i>This includes levies, precision charge, DDF, Sick and Retired Priests Fund, Area Bishops, School Governors Fund, Gilt Fund, Conyers Fund, SGO Fund.</i>	1.2.3	Destroy six years + current year	Correspondence	<i>In line with other finance retention periods.</i>	
					Payment notifications		
					Payment receipts		
					Contribution arrangement/agreements		
					Parish assessments		
Financial Management	Financial Transactions Management	Financial Audits	1.2.4	Destroy six years + current year	Parish Audits	<i>In line with other financial retentions</i>	
Financial Management	Financial Transactions Management	Statements/summaries prepared for inclusion in quarterly/annual reports	1.2.5	Destroy after six years	Financial Summaries		4
					Financial Returns (from parishes)		
					Financial Statements		
					Records relating to Parish financial situation (including Parish debt)		
					Parish finances survey/questionnaire		
Financial Management	Financial Transactions Management	Donations made to the Diocese/ Parishes	1.2.6	Destroy six years after the last payment	Deeds of covenant	Data Protection Act	3



Function	Activity	Process	Retention Reference Number	Retention Period	Record Types	Reason	Source
				made. Twelve years if payments outstanding or dispute regarding the deed	Gift Aid declarations		
					Gift Aid claims (including working papers and envelopes)		
			1.2.7	Destroy six years from the end of the financial year in which the transaction was made	Correspondence re donations	Companies Act/ Charities Act	3
					Donations		
					Collections		
					Parish gifts		
					Appeals		
			1.2.8	Destroy after twenty-five years +one	Foundation masses		
					Arrangements for foundation masses		
					Schedule of foundation masses		
			1.2.9	Keep for one year then destroy if no	Generic/ general queries regarding foundation masses		



Function	Activity	Process	Retention Reference Number	Retention Period	Record Types	Reason	Source
				further action			
			1.2.10	Permanent	Legacies Bequests Wills Estate statements/accounts Administration of estates Inventory of estate Value of assets Distribution of estate Trust deeds		5
Financial Management	Reporting	The process that consolidates financial transactions on an annual basis for corporate reporting purpose	1.3.1	Permanent	Consolidated Annual Reports Consolidated Financial Statements Statement of Financial Position Operating Statements	Data Protection Act/ Common Practice	2 & 3
Financial Management	Reporting	The process that supports and consolidates financial transactions on a periodic (less than annual) basis, superseding those from the previous period. <i>Does not include journals, subsidiary ledgers and cash books.</i>	1.3.2	Destroy when administrative use is concluded	Consolidated Monthly & Quarterly Reports Consolidated Monthly & Quarterly Financial Statements Working Papers for the preparation of the above Monthly Accrual Statements Cash Flow Statements	Common practice	3



Function	Activity	Process	Retention Reference Number	Retention Period	Record Types	Reason	Source
					Creditor Listings and Reports		
					Debtor Listings and Reports		
Financial Management	Budget and Estimates	The process of finalising the Financial Office's/ Parishes annual budget	1.4.1	Permanent	Annual Budget		3
Financial Management	Budget and Estimates	The process of development the Finance Office's/ Parishes annual budget	1.4.2	Destroy two years after annual budget adopted by the Finance Office/ Parishes	Draft Budget	Common Practice	3
			Departmental Budgets				
			Draft Estimates				
Financial Management	Budget and Estimates	The process of reporting which examines the budget in relation to actual revenue and expenditure	1.4.3	Destroy after next year's annual budget has been adopted by the Finance Office/ Parishes	Quarterly Statements	Common Practice	3
			Income and Expenditure Statements				
Financial Management	Loans	The activity of borrowing money to enable the Diocese/Parishes to perform their functions and exercise their powers. <i>This includes: Parishioner loans - Interparish loans</i>	1.5.1	Destroy seven years after the loan has been repaid	Loan files	Statutory	3
			Correspondence regarding loan arrangements/ repayments				
			Basement: Parishioner Loans – must	Loan certificates			



Function	Activity	Process	Retention Reference Number	Retention Period	Record Types	Reason	Source
		- <i>Diocesan loans</i> - <i>Bank loans</i>		be checked with Adrian before disposal decision can be made Diocesan Loan: Destroy after seven years Interparish Loan: Must be repaid by 15 years – Destroy 15 years + 7 years	Loan guarantees		
Financial Management	Loans	Summary management of loan	1.5.2	Permanent	Loans Register	Common Practice	3
Financial Management	Investments	The process of purchase or sale of investment <i>This includes Clunio investment, war stock etc.</i>	1.6.1	Destroy six years + current year	Correspondence regarding investments		6
Financial Management	Investments	Summary/ management of investments	1.6.2	Permanent	Investment Certificates	Companies Act, Charities Act, commercial	1



Function	Activity	Process	Retention Reference Number	Retention Period	Record Types	Reason	Source
					Investment Ledger		
					Investment Reports		
Financial Management	Summary Asset Management	Summary management reporting on the overall assets of the Finance Office/Parishes/Diocese.	1.7.1	Permanent	Schedules of Acquisitions	Common Practice	3
					Consolidated Current Asset Reports		
					Summary of Current Assets		
					Asset Registers		
Financial Management	Property Management	Management of business rates paid on properties owned by the Diocese/Parishes	1.8.1	Destroy six years + current year	Business Rates	<i>In line with other finance retentions</i>	
					Non-domestic Relief Rates		
					Charity Relief Rates		



2. Human Resources

Function	Activity	Process	Retention Reference Number	Retention Period	Record Types	Reason	Source
Human Resources	Recruitment	The process of selection of an individual for a position. Where candidates are success a copy of the job description, application and terms and conditions of employment will be placed on the successful candidate's employee file. [see Employee File below for more details]	2.1.1	Destroy completion of appointment + six months	Vacancies Advertising	Sex Discrimination Act 1975 Race Relations Act 1976 Disability Discrimination Act 1995	6
			2.1.2	Dispose six years after superseded	Job descriptions	Data Protection Act; The National Archives Retention Scheduling: Employee Personnel Records	7
			2.1.3	Until age 100	Contract of Employment	The National Archives Retention Scheduling: Employee Personnel Records	8
			2.1.4	Destroy completion of appointment + six months	Unsuccessful employment applications	Sex Discrimination Act 1975 Race Relations Act 1976 Disability Discrimination Act 1995	6
			2.1.5	Destroy termination of employment + six years	Successful applications	Sex Discrimination Act 1975 Race Relations Act 1976 Disability Discrimination Act 1995	6



Function	Activity	Process	Retention Reference Number	Retention Period	Record Types	Reason	Source
Human Resources	Termination	The process of termination of staff through resignation, redundancy, dismissal and retirement.	2.2.1	Retain until employee age 100. <i>This applies to employees who no longer work within the organisation. If no details of employee's age can be found, it will be assumed that they are 18 years old and retention will be calculated on this basis.</i>	Letters of resignation	Data Protection Act; The National Archives Retention Scheduling: Employee Personnel Records	7
					Letters of redundancy		
					Letters of termination		
					Letters of retirement		
Human Resources	Employee Files	Files relating to individual employees.	2.3.1	Retain until employee age 100. <i>This applies to employees who no longer work within the organisation. If no details of employee's age can be found, it will</i>	Employee details (Employee's name, dates of employment, positions held)	Data Protection Act; The National Archives Retention Scheduling: Employee Personnel Records	7
					Conditions of employment [contract/job description/terms and conditions]		
					Disciplinary matters/ actions		
					Appraisals		
					Correspondence		



Function	Activity	Process	Retention Reference Number	Retention Period	Record Types	Reason	Source
				<i>be assumed that they are 18 years old and retention will be calculated on this basis.</i>			
Human Resources	Pension	The process of administering pension entitlements & obligations are in accordance with agreed employment requirements. <i>Note that some of this information will be contained within individual employee files.</i>	2.4.1	Retain until employee age 100. <i>This applies to employees who no longer work within the organisation. If no details of employee's age can be found, it will be assumed that they are 18 years old and retention will be calculated on this basis.</i>	Pension estimates and awards	The National Archives Retention Scheduling: Employee Personnel Records	8
					Pensionable pay at leaving		
					Reckonable service for pension purposes (and actual service where this is different, together with reasons for the difference)		
					Amount and date of any Contributions		
					Equivalent Premium paid		
					All other papers relating to pensions not listed above		
					Papers about widow's, widower's, children's and other dependant's pensions		
					Correspondence with pension provider/administrator		
Human Resources	Pension	The process of reporting the accounting process of pensions	2.4.2	Permanently	Annual Accounts	Companies Act, Commercial, Pensions Act 1995	1



Function	Activity	Process	Retention Reference Number	Retention Period	Record Types	Reason	Source
					Actuarial Reports		
Human Resources	National Insurance	The process of managing employee National Insurance contributions	2.5.1	Destroy three years after the end of each tax year against which a claim for the Employment Allowance has been made	Employee National Insurance Contributions	National Insurance Contributions Act 2014 - Section 7 (1) to (6) Social Security Administration Act 1992 – Section 110 ZA	2
Human Resources	Employee Relations	The process of managing disciplinary and grievance investigations	2.6.1	Destroy six years after last action on file	Records documenting grievances raised by staff (which do not relate directly to their own contracts of employment), the Finance Office's response, action taken and the outcome. <i>Includes records relating to court/tribunal cases.</i>	Limitations Act 1980	9
Human Resources	Employee Relations	The process of managing disciplinary and grievance investigations	2.6.2	Destroy six years after closure of case	Records documenting grievances raised by an employee which relate directly to his/her own contract of employment, the institution's response, action taken and the outcome. <i>Includes records relating to court/tribunal cases.</i>		9
Human	Occupational	The process of checking	2.7.1	Forty years	Health Surveillance Records	Limitation Act 1980	6



Function	Activity	Process	Retention Reference Number	Retention Period	Record Types	Reason	Source
Resources	Health	and ensuring the health of staff. <i>If information contained within individual employee files it must be retained until employee age 100.</i>		after termination of employment	Health Questionnaire	Health and Safety at Work Act 1974	
					Medical Clearances		
Human Resources	Occupational Health	The process of providing private health care to employees	2.7.2	Permanent	Details of medical schemes	Commercial	1
Human Resources	Occupational Health	The process of monitoring of areas where employees and persons are likely to have come in contact with dangerous substances such as Asbestos, lead, radiation and biological agents.	2.7.3	Destroy forty years from the date of the last entry	Medical reports of those exposed to a substance hazardous to health	Health and Safety at Work Act 1974; RIDDOR Regs (7) The National Archives Retention Scheduling: Employee Personnel Records	9 & 8
Human Resources	Staff Monitoring	The process of managing staff attendance and absence	2.8.1	Destroy three years after the end of each tax year for Statutory Sick Pay purposes	Records documenting an employee's absence due to sickness	Statutory Sick Pay (General) Regulations	1
					Sick Notes		
					Medical Certificates		
Human Resources	Staff Monitoring	The process of managing statutory leave such as maternity or paternity	2.8.2	Destroy six years from completion of entitlement	Records documenting the authorisation and administration of statutory leave entitlement		9
					Leave Request Forms		



Function	Activity	Process	Retention Reference Number	Retention Period	Record Types	Reason	Source
Human Resources	Staff Monitoring	The process of managing annual leave	2.8.3	Two years	Annual Leave Request Forms	The National Archives Retention Scheduling: Employee Personnel Records	8
					Records relating to the administration of an employee's contractual holiday entitlement.		
Human Resources	Staff Monitoring	The process of monitoring staff performance	2.8.4	Current year + six years	Probation reports		6
					Appraisals		
					Performance Reviews		
Human Resources	Health and Safety	The process of recording incidents/ accidents to staff	2.9.1	Destroy three years after closure	Incident/ Accident form	Health and Safety at Work Act 1974; The National Archives Retention Scheduling: Employee Personnel Records	7
					Accident books		
					Investigation reports		
Human Resources	Health and Safety	Training staff in health and safety procedures	2.9.2	End of employment + five years	Training details	The Management of Health and Safety at Work Regulations 1999	6
					Training resource/handouts		
Human Resources	Health and Safety	Employer's Liability Insurance	2.9.3	Forty Years	Employer's Liability insurance certificate	Employers' Liability (Compulsory Insurance) Regulations 1998	1
Human Resources	Health and Safety	The process of managing and ensuring the safety of minors	2.9.4	Permanent	Records relating to legal services in relation to sexual abuse and child protection	Inquiries Act 2005	14



Function	Activity	Process	Retention Reference Number	Retention Period	Record Types	Reason	Source
Human Resources	Training and Development	The process of training staff in relation to their roles	2.10.1	Six years	Course/training details	The National Archives Retention Scheduling: Employee Personnel Records	8
					Staff assessment details and outcomes		



3. Property Management

NB this section relates to all property owned by the Diocese/ Parish. This includes churches, presbyteries, sanctuaries, sacristies, baptisteries, convents, seminaries, church halls, garages, plots of land, schools, flats, houses, chapels and chapels at ease (includes those based at non-parish/church locations such as hospitals and universities).

Function	Activity	Process	Retention Reference Number	Retention Period	Record Types	Reason	Source
Property Management	Property Acquisition and Disposal	Plans	3.1.1	Permanent	Plans	<i>Useful information to retain particularly if surrounding property is still owned.</i>	
					[Architectural] Drawings		
Property Management	Property Acquisition and Disposal	The acquisition of property by purchase, exchange, transfer or conveyance and disposal of property/land/freehold/leasehold. <i>Includes compulsory transfer/conveyance to Council for road, or for tube line</i>	3.1.2	Permanently or until twelve years after property is disposed of. <i>Records to be kept permanently if only part of an estate is sold.</i>	Land Registry records	Limitation Act 1980	10 & 5
					Land Certificates		
					Valuations Surveys		
					Surveyors Report		
					Building Survey		
					Survey of Building Condition		
					Title Deeds		
					Legal Documents relating to the purchase of property		
					Legal Documents relating to the sale of property		
					Tender documents		
					Conditions of Contracts		
Photographs							
Restrictive covenants							
Property Management	Property Acquisition and Disposal	The management of the acquisition of property by lease	3.1.3	Dispose end of lease + fifteen years	Lease	Limitation Act 1980	10
					Lease Agreements		
					Applications for Leases		
					Restrictive covenants		



Function	Activity	Process	Retention Reference Number	Retention Period	Record Types	Reason	Source
Property Management	Property Acquisition and Disposal	The acquisition of property by mortgage	3.1.4	Dispose seven years after repayment	Mortgage agreements/arrangement	<i>In line with retention for loans</i>	
					Mortgage repayments		
					Repossession of property		
					Correspondence		
Property Management	Property Acquisition and Disposal	Negotiations for properties where the property was not acquired or disposed (<i>Aborted purchases/disposals of property</i>)	3.1.5	Dispose closure of negotiations + six years	Correspondence	Limitation Act 1980 c.58 s2	11
					Surveys reports		
					Legal documents		
					Purchase offers		
					Restrictive covenants		
Property Management	Property Acquisition and Disposal	The process for managing the letting/ tenancy of Diocesan/Parish owned property. <i>Includes garages, flats, and halls. This refers to tenancy on property to telecom companies, electrical substations and Scout Groups.</i>	3.1.6	Destroy twelve years from termination of tenancy	Property details		12
					Length of tenancy		
					Details of tenants		
					Correspondence		
					Disputes/ issues between tenant and landlord including court cases		
Property Management	Historic Property Papers	Records relating to the acquisition and disposal of property	3.2.1	Pre-1852 Permanent Post -1852 – offer to the Parishes. If they decline they will be kept	Purchase	Historical Interest	
					Sale		
					Leasing		
					Renting		
					Conveyance		
					Assignments		



Function	Activity	Process	Retention Reference Number	Retention Period	Record Types	Reason	Source
				permanently.			
Property Management	Property Arrangements	The process for managing the letting/ tenancy of Diocesan/Parish owned property. <i>Includes garages, flats, and halls.</i>	3.3.1	Destroy - six years after tenancy has expired	Agreements relating to the tenancy	Limitation Act 1980	12
					Service occupancy agreement		
					Tenancy renewal		
					Revision of rent		
					Rent review		
					Disputes/ issues between tenant and landlord including court cases		
					Eviction from property		
Property Management	Property Arrangement	The process of the Diocese/Parish renting property. <i>Relates mainly to providing accommodation to retired priests.</i>	3.3.2	Destroy - six years after tenancy has expired	Agreements relating to the tenancy	Limitation Act 1980	12
					Tenancy renewal		
					Revision of rent		
					Rent review		
					Disputes/ issues between tenant and landlord including court cases		
Property Management	Property Maintenance and Renovation	The process of managing and undertaking major renovations and development of property or land. <i>Topics include extensions,</i>	3.4.1	Destroy end of works + fifteen years	Project files contract for building works	Limitation Act 1980	10
					Contractor review reports		
					Project Specifications		
					Plans		
					Installation Manuals		



Function	Activity	Process	Retention Reference Number	Retention Period	Record Types	Reason	Source
		<i>external redecorations/refurbishments/building of new areas or properties such as the sanctuary, chapel, sacristy, baptistery or presbytery.</i>			Certificates of Approval Final Plans, Designs and Drawings of the building Planning Applications. <i>This includes all associated correspondence such as objections and alternations to applications.</i> Only retain those submitted by the Diocese. Planning Consents Building Certifications Collateral Warranties Final Health and Safety Files Surveyors Report Building Survey Survey of Building Condition Structural Survey/ Report Business Plan Feasibility Studies/Statements Insurance for building works Budgets for building works Cost reports		
Property Management	Property Maintenance and Renovation	The process of managing and undertaking minor renovations and development of property. <i>This includes</i>	3.4.2	End of works + six years	Maintenance of boilers/ central heating Remedial works Replacement of fixtures (e.g. lighting)		10



Function	Activity	Process	Retention Reference Number	Retention Period	Record Types	Reason	Source
		<i>review/replacement/servicing of heating systems/ boilers</i>			Correspondence		
Property Management	Road Maintenance	The activity of maintaining and repairing roads, streets and paths. <i>This relates to public paths, by-passes etc. that are being accessed by companies such as Thames Water, British Gas and BT. Works by such companies can also go onto the Diocesan/Parish property where permission is required.</i>	3.5.1	Destroy fifteen years after action completed	Map of area Plans Notices of works Boundary arrangements/agreements Correspondence Schedule of works Complaints and queries	<i>This aligns with the retention period for major refurbishments.</i>	
Property Management	Church Re-Organisation	Re-ordering of churches	3.6.1	Permanent	Records relating to additions to the church such as altars, stained glass windows, organs, statues or relics. This also includes guidance on re-ordering of churches (issued by Diocese). It would be important to keep records such as invoices if there is no other record of such changes to the church.	Historical Interest	
Property Management	Church Re-Organisation	Re-ordering of churches	3.6.2	Permanent	Records relating to the Historic Churches Committee which details applications of changes to churches, with discussions and minutes.	Historical Interest	



Function	Activity	Process	Retention Reference Number	Retention Period	Record Types	Reason	Source
Property Management	Church Re-Organisation	Re-decoration of/ alternations to churches	3.6.3	Unsuccessful applications – six years Success Applications - permanent	Records relating to bids/ grants/ applications for funding from bodies such as English Heritage or the Finance Committee		
					Application Forms		
					Feedback		
					Correspondence		
Property Management	Church Organisation	The process of managing graveyards and burial sites in the Diocese	3.6.4	Permanent	Plans		5
					Registers of graves		
					Accompanying records such as correspondence		
Property Management	Church Organisation	Bishop visitations to the Parishes	3.6.5	Destroy after three years	Parish visitation reports		
					Correspondence		
					Preparation for visitation		
					Letters of thanks		
Property Management	Listed Status	The process of managing the listed status of Diocesan/Parish property	3.7.1	Permanent	Correspondence	Historical Interest	
					Applications		
					Feedback		
					Supporting papers		
Property Management	Use of Diocesan/Parish Property	The use of Diocesan/Parish property for non-Church related activities. <i>This includes</i> <i>- Church Social clubs</i>	3.8.1	Dispose seven years after the closure of the club.	Rule books		
					Setting up of social club		



Function	Activity	Process	Retention Reference Number	Retention Period	Record Types	Reason	Source
		<ul style="list-style-type: none"> - <i>Community centres</i> - <i>Nurseries</i> - <i>Karate clubs</i> - <i>After school clubs</i> - <i>Playgroups</i> - <i>Youth clubs</i> - <i>Luncheon clubs</i> 		<p>If the club is still operating refer to above activities to determine retention period. <i>For example if there are invoices look in Financial Management or if there are building maintenance issues look in Maintenance in Property Management.</i></p>	<ul style="list-style-type: none"> Arrangement with the Diocese/Parish Financing of the club License 		
Property Management	Use of Diocesan/ Parish Property	<p>The process of managing and administering the use of Diocesan/Parish property for non-Church related activities. <i>This includes</i></p> <ul style="list-style-type: none"> - <i>Church Social clubs</i> - <i>Community centres</i> - <i>Nurseries</i> - <i>Karate clubs</i> 	3.8.2	Dispose seven years after last action	<ul style="list-style-type: none"> Social club management Issues with staff Administration issues 	<p><i>Relates to the retention above for social club that are now defunct and finance retentions of 6+1.</i></p>	



Function	Activity	Process	Retention Reference Number	Retention Period	Record Types	Reason	Source
		<ul style="list-style-type: none"> - After school clubs - Youth clubs - Luncheon clubs 			License		
Property Management	Property and Land Maintenance	The process of managing land and environment surrounding Diocesan/Parish owned property	3.8.3	Destroy seven years after administrative use concluded	Tree preservation orders	<i>Common Practice</i>	3
Property Management	Property and Land Maintenance	The process of managing and identifying right of ways and right of light	3.8.4	Permanent <i>Dispose when the property is disposed.</i>	Correspondence Disputes and queries Agreement Boundary arrangement/agreements Maps Plans Land Registry documents	<i>Useful information to retain.</i>	
Property Management	Property and Land Maintenance	The process of managing and identifying fence and path boundaries and maintenance	3.8.5	Destroy fifteen years after action completed	Disputes and queries Boundary arrangements/agreements Correspondence Maps Plans Maintenance agreements	<i>This aligns with the retention period for major refurbishments.</i>	
Property Management	Property and Land Maintenance	The process of managing and administering property and surrounding environment arrangements	3.8.6	Destroy at the end of licence + six years	Applications and Certificates Permits		10



Function	Activity	Process	Retention Reference Number	Retention Period	Record Types	Reason	Source
		through licenses. <i>Includes parking.</i>			Licenses Correspondence Identification of licensing requirements Acquisition and maintenance of licenses Management of compliance with license conditions		
Property Management	Property and Land Maintenance	Relating to the inspection and monitoring of the property/environment	3.8.7	Destroy six years + current year	Forms Reports/ Findings Correspondence		12
Property Management	Parish Development	The merging or division of Parishes/ Diocese. <i>This would include the cases of the Parish of Abbey Wood and the proposed (but not executed) division of the Diocese of Southwark and Kent.</i>	3.9.1	Permanent	Correspondence Boundary arrangement/agreements Plans Notes/Papers on division	Historical Interest	
Property Management	Diocesan Development	The process of relocating or building a new property for the Diocese. <i>This includes the relocation/resitting/buildin</i>	3.10.1	If development goes ahead: permanently or until twelve	Correspondence Preliminary considerations	<i>Aligns with retention for acquiring and disposing of property.</i>	



Function	Activity	Process	Retention Reference Number	Retention Period	Record Types	Reason	Source
		<i>g of new churches or schools.</i>		years after property is disposed of If development does not go ahead: dispose closure of negotiations + six years	Preliminary evaluations Reports/ notes on discussions Proposals Tenders Surveys of locations/properties/land Planning applications Planning consents Meeting with residents/parishioners/parent		
Property Management	Relationship Management	The process of dealing with issues/queries/ disputes with neighbours. <i>This relates mainly to behaviour. Disputes are covered under different activities.</i>	3.11.1	Destroy one year after closure	Correspondence Formal complaints Actions taken to resolve issues Reports		
Property Management	Health and Safety	The process of ensuring health and safety in	3.12.1	Review after fifteen years	All corporate health and safety policies	<i>This has insurance implications in case of</i>	3



Function	Activity	Process	Retention Reference Number	Retention Period	Record Types	Reason	Source
		Diocesan/Parish property			Codes of practice Guidance Forms and templates	<i>claims made under previous H&S policies.</i>	
Property Management	Fire Safety	The process of ensuring fire safety in Diocesan/Parish property. <i>Note works relating to creating fire exits are major/minor refurbishments.</i>	3.13.1	Whilst still relevant – until reviewed or repeated	Fire Risk Assessment Fire Evacuation Procedures Fire log book Fire certificates	Statutory	3
Property Management	Insurance Policy Management	The summary management of insurance arrangements	3.14.1	Permanent	Reports to the Insurance Committee Reports by the insurance company Insurance Register		3
Property Management	Insurance Policy Management	The summary management of insurance arrangements	3.14.2	Dispose expiry + forty years	Insurance Certificates		10
Property Management	Insurance Policy Management	The process of insuring Property/vehicles/equipme	3.14.3	Destroy seven years after the	Correspondence		3



Function	Activity	Process	Retention Reference Number	Retention Period	Record Types	Reason	Source
		nt against negligence, loss or damage		terms of the policy have expired	Insurance Policies Insurance valuations Insurance premiums Inventory of property/contents of property Insurance renewals Surveys of Parish/Diocesan property Generic/ general queries regarding insurance		
Property Management	Insurance Claims Management	The process that records insurance claims made by Parishes/Diocese	3.14.4	Three years after settlement <i>Dispose of any material relating to claim pre- 1990. Relates mainly to the basement.</i>	Claims correspondence Claim forms Insurance settlement/ compensation payments	Data Protection Act	1



4. Strategic Management

Function	Activity	Process	Retention Reference Number	Retention Period	Record Types	Reason	Source
Strategic Management	Corporate Planning and Reporting	The process of preparing business for strategic consideration and making the record of discussion, debate and resolutions. <i>This includes:</i> - Finance Committee Minutes - Trustee Minutes	4.1.1	Permanent <i>Only one copy of the final, agreed, signed copy need to be kept.</i>	Agenda		10
					Minutes		
					Memos		
					Supporting papers		
Strategic Management	Corporate Planning and Reporting	The process of preparing business for specific committees/ groups in relation to a project consideration and making the record of discussion, debate and resolutions. <i>Relates to non-governing committees and this includes:</i> - Minutes for building projects - Health and safety committees - Project based minutes	4.1.2	Dispose three years from closure	Agenda		3
					Minutes		
					Memos		
					Supporting papers		
Strategic Management	Corporate Planning and Reporting	The process of preparing business for specific	4.1.3	Permanent. <i>Dispose of</i>	Agendas		



Function	Activity	Process	Retention Reference Number	Retention Period	Record Types	Reason	Source
	<i>Records in the basement</i>	committees/ groups in relation to a project consideration and making the record of discussion, debate and resolutions. <i>Relates to non-governing committees and this includes:</i> <ul style="list-style-type: none"> - <i>Parish committee meetings</i> - <i>School governor meetings</i> - <i>Building projects meetings</i> 		<i>duplicates if they can be easily identified.</i>	Minutes Memos – <i>They provide valuable context to meetings and key issues within meetings. (Particularly in relation to the basement).</i> Supporting papers		
Strategic Management	Trustees	The process of managing the Finance Office	4.1.4	Destroy end of service + six years	Appointment of governors	<i>In line HR retention for employees</i>	



5. Clergy

NB. For the clergy the date of their death equals the end of their service.

Function	Activity	Process	Retention Reference Number	Retention Period	Record Types	Reason	Source
Clergy	Clergy Files	Files relating to individual members of the clergy	5.1.1	Retain until clergy age 100. <i>If no details of clergy's age can be found, it will be assumed that they are 25 years old and retention will be calculated on this basis.</i>	Clergy details (clergy's name, dates of service, positions held)	Data Protection Act; The National Archives Retention Scheduling; Employee Personnel Records	7
Clergy	Appointment of Clergy	The process of selection of a priest for a position	5.2.1	Permanent. <i>This mainly relates to correspondence/arrangements in the parish folders.</i>	Records relating to the appointment of a new parish priest Correspondence Arrangements with Parishes	<i>Historical Interest</i>	
Clergy	Expenses/ Grants	Accountable processes relating to payment made to the clergy	5.3.1	Destroy six years + current year	Expense accounts for individuals Expense payments for courses/supplies/travel Mass stipends Insurance cover for travel and holiday Correspondence Approvals/agreements for expenses Grant payments made to priests	Taxes Management Act	1



					and students		
Clergy	Complaints/ Disciplinary	The process of managing complaints against members of the clergy	5.4.1	Destroy six years after closure of case. Records relating to sexual abuse must be kept permanently (IICSA)	Records documenting complaints against members of the clergy Correspondence Reports Actions/outcomes of complaints <i>Includes records relating to court/tribunal cases.</i>	Limitations Act 1980 Inquiries Act 2005	9 & 14
Clergy	Chaplaincy	The process of managing Chaplaincies. <i>For matters relating to the finances/property see Financial Management and Property Management sections above.</i>	5.5.1	Dispose seven years after last action	Arrangement with the Diocese/Parish/location of Chaplaincy (e.g. university/hospital/international Chaplaincy) Management of the Chaplaincy Correspondence		
Clergy	Healthcare	The process of providing private health care to the clergy	5.6.1	Permanent	Details of medical schemes	Commercial	1
Clergy	Healthcare	The process of checking and ensuring the health of the clergy. <i>If information contained within individual clergy files it must be retained until age 100.</i>	5.6.2	Retain until clergy age 100. <i>If no details of clergy's age can be found, it will be assumed that they are 25 years old and retention will be calculated on this basis.</i>	Health Surveillance Records Health Questionnaire Medical Clearances	Limitation Act 1980 Health and Safety at Work Act 1974	6



6. Schools

NB for matters relating to finance, property and HR use above sections. This section relates to records that are particular to the management of schools.

Function	Activity	Process	Retention Reference Number	Retention Period	Record Types	Reason	Source
Schools	Admissions	The process of managing the admissions of students to schools	6.1.1	Life of the policy + three years then review	School admissions policy	School Admissions Code Statutory guidance for admission authorities, governing bodies, local authorities, schools adjudicators and admission appeals panels December 2014	13
					All records relating to the creation and implementation of the School Admissions' Policy		
Schools	Admissions	The process of managing the admissions of students to schools	6.1.2	Resolution of case + one year	Appeals made for unsuccessful admissions	School Admissions Code Statutory guidance for admission authorities, governing bodies, local authorities, schools adjudicators and admission appeals panels December 2014	13
Schools	School Status	Proposals concerning the change of status of a maintained school. <i>This includes Specialist Status Schools and Academies.</i>	6.2.1	Date proposal accepted or declined + three years	Consultations		13
					Reports/notes on discussions		
					Minutes of meetings		
					Correspondence		
					Applications		
					Decisions		



Function	Activity	Process	Retention Reference Number	Retention Period	Record Types	Reason	Source
Schools	Agreements	Agreements made with Local Authorities/Companies/ Religious Orders in regards to running the school. <i>This includes agreements for Special Status Schools and Academies.</i>	6.3.1	Date of Expiry + fifteen years	Agreements	Limitations Act 1980	
					Correspondence		
					Reports/notes on discussions		
Schools	Funding	The process of managing and administering funding received by the school	6.4.1	Current year + six years	Records relating to funding/grants received by schools. <i>This includes the Diocese (Finance Office) and the LEA.</i>	<i>In line with finance retentions.</i>	
Schools	School Closure	The process of closing of a school	6.5.1	Closure of school + six years	Records relating to the closure of a school		
					Reports/notes on discussions		
					Correspondence		
					Consultations		
Schools	Re-organisation of Schools	The process of re-organising Catholic Schools within the Diocese. <i>This includes the joining, relocating, and altering the remit of schools.</i>	6.6.1	Permanent	Correspondence	Historical Interest	
					Reports		
					Plans		
					Notes/Papers on re-organisation		
					Consultation		
					Approvals/ agreements from Local Authority		
Diocesan position							



Function	Activity	Process	Retention Reference Number	Retention Period	Record Types	Reason	Source
Schools	Reporting	The process of reporting information about the school to parents/Diocese		Destroy date of the report + three years	Reports created by the Head Teacher or the Management Team Ofsted Reports		13
Schools	Reporting	The process of reporting information from departmental committees. <i>This includes the personnel committee, finance committee, building and estates committee.</i>	6.6.2	Destroy date of report + three years	Reports from committees Minutes of meetings		
Schools	Foundation Governors	The process of governing the school through maintaining a Catholic ethos	6.7.1	Destroy date of report + ten years	Annual Reports created under the requirements of the Education (Governor's Annual Reports) (England) (Amendment) Regulations 2002	Education (Governor's Annual Reports) (England) (Amendment) Regulations 2002 SI 2002 No 1171	13
Schools	Foundation Governors	The process of governing the school through maintaining a Catholic ethos	6.7.2	Destroy end of service + six years	Appointment of governors Replacement of governors	<i>In line HR retention for employees</i>	
Schools	Governing Body	The process of governing the school	6.7.3	Permanent	Instruments of Government including Articles of Association		13



7. General Administration

Function	Activity	Process	Retention Reference Number	Retention Period	Record Types	Reason	Source
General Administration	Reference material	Information resources that provide staff with guidance and support in the course of their work. <i>Topics include:</i> - Staff handbook - Disability guidance - Equal opportunities - Guidance for Financial Secretaries - RCIA guidance - IT guidance - Software guidance	7.1.1	Retain as current records in the workplace for convenience, seek to convert into shared electronic resources where possible and destroy original paper copies. Reference material should not be archived – either retain as current or destroy.	Handbooks		3
					Protocols		
					Guidance documents		
					Manuals		
General Administration	Publications	Publications created by Parishes/ Diocese/ Schools. <i>Ensure that Schools/Parishes are keeping copies of their own publications.</i>	7.2.1	Current year + one year	Newsletters		13
					Magazines		
					Brochures		
					School Prospectus		
General	Surveys	Initiatives undertaken by	7.3.1	Destroy one year	Surveys		



Function	Activity	Process	Retention Reference Number	Retention Period	Record Types	Reason	Source
Administration		Parishes to understand views of Parishioners <i>Relates only to records in the basement.</i>		after last action	Responses Analyses		
General Administration	Events	Events undertaken by Parishes. <i>Relates only to records in the basement</i>	7.4.1	Destroy one year after last action	Organisation of events Invitations Publications relating to events		
General Administration	General Correspondence	Correspondence which cannot be linked and stored with other records relating to a specific process. <i>Note that correspondence with significant individual (e.g. Pope) should be kept permanently for historical interest.</i>	7.5.1	Keep for one year then destroy if no further action	General Correspondence letters General Correspondence e-mails General Correspondence faxes		3
General Administration	Access to Records	Requests for Information dealt with under the provisions of the Data Protection Act 1998	7.6.1	Closure + five years	Subject Access Request File		3
General Administration	Information and Records Management	The process of ensuring information and records are managed effectively and appropriately in line with legislation and standards	7.7.1	Permanent. <i>Keep only the most recent versions.</i>	Retention Schedule Records Management Policy Disposal Log Vital Records Log		3



Index of Sources

Source reference number	Detailed source information
1	http://www.cfg.org.uk/~media/Document%20library/01%20Accounting/04%20Audit/Retention of Accounting Records update 0911EFIS0001.ashx Retention of Accounting Records
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