

## Data Retention policy

Version 1	September 2018
Agreed by SMT	
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## **Introduction**

- 1.1 Information is one of Age UK East London corporate assets; in the course of carrying out its' various functions, Age UK East London accumulates information from both individuals and external organisations. Age UK East London also generates a wide range of data, which is recorded in documents and records.
- 1.2 These documents and records are in several different formats, examples of which include, (but are not limited to) data such as names, emails, IP addresses; financial information; payroll for the purpose of processing employee contractual rights; legal documents such as contracts.
- 1.3 For the purposes of this Policy, the terms 'document' and 'records' include information in both hard copy and electronic form and refers to personal identifiable data within.
- 1.4 In certain circumstances it will be necessary to retain specific documents in order to fulfil statutory or regulatory requirements and also to meet operational needs. Document retention may also be useful to evidence events or agreements in the case of disputes, and also to preserve information which has historic value.
- 1.5 Premature destruction of documents could result in inability to defend litigious claims, operational difficulties and failure to comply with the GDPR.
- 1.6 Lengthy or indefinite retention of personal information could result in Age UK East London breaching the GDPR.
- 1.7 It is important for the above reasons that Age UK East London has in place systems for the timely and secure disposal of documents and records that are no longer required for business purposes and in accordance with the GDPR are kept up-to-date and relevant.

## **2. Aims and Objectives**

- 2.1 The key objective of this Policy is to provide the Age UK East London with a simple framework which will govern decisions on whether a particular document should be retained or disposed of. In the case of documents which are to be retained by Age UK East London, the Policy includes guidance on the format in which they should be retained and agreed retention periods.
- 2.2 Implementation of the Policy should ensure transparency when retrieving information, for the purposes of a subject access and reduce the amount of information that may be held unnecessarily.

- 2.3 The Policy clarifies the different roles of employees in relation to document retention and disposal in order that they understand their responsibilities, and who to refer to if they are unsure about any document and require clarification.

### **3. Scope**

- 3.1 This Document Retention Policy applies to all information held by Age UK East London and its external service providers where they are processing information on the Age UK East London behalf.

### **4. Policy Statement**

- 4.1 Age UK East London will ensure that information is not kept longer than is necessary and will retain the minimum amount of information that it requires to carry out its' statutory functions and the provision of services.

### **5. Retention and Disposal Policy**

- 5.1 Decisions relating to the retention and disposal of documentation should be taken in accordance with this Policy, in particular:-

Document Retention Schedules – Guidance on the recommended and statutory minimum retention periods for specific types of documents and records.

- 5.2 In circumstances where a retention period of a specific document has expired, a review should always be carried out prior to a decision being made to dispose of it. This review should not be particularly time consuming and should be straightforward. If the decision to dispose of a document is taken, then consideration should be given to the method of disposal to be used.

### **6. Roles and Responsibilities**

- 6.1 Directors will be responsible for determining (in accordance with this Policy) whether to retain or dispose of specific documents within the remit of their service area.
- 6.2 Directors may delegate the operational aspect of this function within the organisation.
- 6.3 Directors should seek advice from the CEO if they are uncertain as to whether minimum retention periods are prescribed by law, or whether the retention of a document is necessary to protect Age UK East London position where a potential claim has been identified, or for operational purposes.
- 6.4 Directors should ensure that the Schedule in Appendix 1 which is relevant to their service is kept up to date.

## 7. Disposal

- 7.1 Confidential waste which is located around the Age UK East London offices should be disposed of using the shredder.
- 7.2 Disposal of documents other than those containing confidential or personal data may be disposed of by binning, recycling and deletion (in the case of electronic documents).
- 7.3 Records of disposal should be maintained by each department and should detail the batch of documents disposed of, the date and the Director who authorised the document's disposal.

## **Disposal and Retention Considerations**

Each of the following questions and guidance underneath them should be considered prior to the disposal of any document.

### **1. Has the document been appraised?**

- Check that the nature and contents of the document is suitable for disposal.

### **2. Is retention required to fulfil statutory obligations or other regulatory obligations?**

- Specific legislation setting out mandatory retention periods for documentation held by Age UK East London is very limited, but includes the following:-
  - Tax legislation – minimum retention periods for certain financial information are stipulated by the VAT Act 1994 and the Taxes Management Act 1970.
  - HMRC legislation – minimum retention periods for employee processing payroll

### **3. Is retention required for evidence?**

- Keep any documents which may be required for legal proceedings until the threat of proceedings has passed.

### **4. Is retention required to meet the operational needs of the service?**

Consider whether the document in question may be useful for future reference, as a precedent or for performance management purposes

# Document Retention Schedules

## 1. Introduction

1.1 The following schedules provide guidance on the retention periods applicable to a wide range of Age UK East London documents.

## 2. Explanation of Retention Schedule Headings

2.1 There is a Document Retention Schedule for each service. The headings in each Schedule are as follows:

2.2 **Reference Number** – This section provides ease of reference.

2.3 **Function Description** – The Schedule provides notes that define each function in terms of related activities.

2.4 **Retention Action** – This entry provides the guidance as to whether the document should be retained, and if so how long for. It also provides guidance regarding the method by which documents should eventually be disposed of.

2.5 **Examples of Records** – This section provides common examples of the type of records included within the particular function. This list is not exhaustive.

2.6 **Notes** – This indicates if the retention action is common practice or statutory.

### Human Resources

<u>Reference Number</u>	<u>Data Type</u>	<u>Function Description</u>	<u>Retention Period</u>	<u>Examples of Records</u>	<u>Notes</u>
	Personnel Files -		7 years after departure of staff member		
	Files and details of disciplinary Proceedings		7 years after departure of staff member		
	Recruitment		7 years after recruitment		
	Holiday and Sickness allowance		7 years after departure of staff member		
	Passport / Right to work		7 years after departure of staff member		
	Photographs		7 years after departure of staff member		
	Bank Details		Until departure of member of staff		



### Finance

<u>Reference Number</u>	<u>Data Type</u>	<u>Function Description</u>	<u>Retention Period</u>	<u>Examples of Records</u>	<u>Notes</u>
	Internal Audit		7 years		
	Payroll		7 years		
	Management Accounts		7 years		
	Employee Expenses		7 years		
	Bank Details		7 years		
	Tax		7 years		

### Volunteers

<u>Reference Number</u>	<u>Data Type</u>	<u>Function Description</u>	<u>Retention Period</u>	<u>Examples of Records</u>	<u>Notes</u>
	Personnel Files -		7 years from end of volunteering		




### Clients

<u>Reference Number</u>	<u>Data Type</u>	<u>Function Description</u>	<u>Retention Period</u>	<u>Examples of Records</u>	<u>Notes</u>
	Personal data and work specific documents and data	Service Delivery	6 years from date of last intervention	Personal data, related documents	Beneficial for older people to have continuity of service with us, even with short gaps between services.