

Archive, Destruction and Retention Policy

Age UK Kensington and Chelsea

Policy review extension form

Policy title	Archive, Destruction and Retention Policy
Current date of expiration	April 2020
Extension period request	31 st October 2021
Reason for extension request	The unprecedented circumstances of the Covid-19 Pandemic significantly affected our organisational capacity to update our Policies as resources were focused on our large-scale Emergency Response. Our Board have now initiated a full external Policy review of all our Policies which is being carried out by the Policy Review Team and this will be complete by the end of October 2021.
Does this extension request pose any risks?	No – our Policy Review team have given assurances that this extension is appropriate
Summary of risks e.g. not meeting national guidance	
Has this document previously been granted an extension? Add details e.g. 2 previous extensions amounting to 6 months	No

Name and Job title of person completing this form	Jess Millwood, CEO
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Date of completion	30/07/2021
Name and Role of Board Member Approving Extension	Christine Morgan, Trustee, Chair Quality, Performance, Development & Human Resources Committee
Is the Extension Approved? If no, reason why not	Yes
Date of Extension Approval	05/08/2021
Date Policy Tracker Updated to Record Extension	

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Document Control Information

Version History			
Version	Date	Detail	Author
1.0	19/10/2016	Creation of Policy	Paula Swash
1.1	21/10/2016	Change from Age UK to Age UK K&C	Paula Swash
1.2	25/11/2016	Added electronic information/data archiving	Paula Swash
1.3	26/01/2017	Added the retention period for client personal records	Paula Swash
1.3	26/05/2018	Reviewed – Updated to include GDPR Legislation references where required	Sue Baker

Current Version	
Name of Group Approving the Document	CEO
Date of Group Approval	26/05/2018
Date Added to Master Document Index	18/06/2018
Review Date	18/06/2020
Version Number	1.4
Related Documents	N/A
Author	Sue Baker
Service Unit	Core
Consultation Tracking Sheet	N/A

Approval Signature			
Version	Date	Signatory (Print)	Signature
1.1	21/10/2016	Paula Swash	
1.2	25/11/2016	Paula Swash	
1.3	26/01/2017	Paula Swash	
1.4	26/05/2018	Sue Baker	

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CONSULTATION TRACKING SHEET

This document must be completed and accompany the document through the final ratification and authorisation process. A copy of this sheet should be included at the front of the final published policy.

Name of Document: Archive, Destruction and Retention policy

Name of person / team / committee asked to provide feedback	Date feedback request sent	Feedback received (Y/N)	Feedback incorporated into Policy (Y/N)
Tasio Cabello	09/04/2018	Yes	Yes
Beth Colquhoun	09/04/2018	Yes	Yes
Zein Mbah	09/04/2018	Yes	Yes
Iddrisu Baako	09/04/2018	Yes	Yes

Document History and Change Record

The following are registered holders of controlled copies of this document:

Position	Version
Paula Swash (Interim Business Manager)	1.1
Paula Swash (Interim Business Manager)	1.2
Paula Swash (Interim Business Manager)	1.3
Sue Baker	1.4

Amendment History			
Version	Date	Amendment	Approved By
1.1	21/10/2016	Change from Age UK to Age UK K&C	Paula Swash
1.2	25/11/2016	Added electronic information/data archiving	Paula Swash
1.3	26/01/2017	Added the retention period for client personal records	Paula Swash

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1.4	09/04/2018	Added client records to the list covered by the policy (2.3) and referenced GDPR legislation.	Sue Baker
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1 Introduction

In the course of carrying out its various functions, Age UK K&C creates and holds a wide range of recorded information located in different offices. Records need to be properly retained to enable Age UK K&C to meet its business needs, legal requirements, to evidence events or agreements in the event of allegations or disputes and to ensure that any records of historic value are preserved.

Age UK Kensington & Chelsea recognise the rights and obligations established by the European Union General Data Protection Regulation (Regulation (EU) 2016/679) ('GDPR') and the Data Protection Act 2018 (DPA) in relation to the management and processing of personal data.

1.1 The untimely destruction of records could affect:

- the conduct of Age UK K&Cs business;
- the ability of Age UK K&C to defend or instigate legal actions
- Age UK K&Cs ability to comply with statutory obligations
- Age UK K&Cs reputation.

1.2 The permanent retention of records is undesirable and disposal is necessary to free up storage space, reduce administrative burden and to ensure that Age UK K&C does not retain records for longer than necessary (particularly those containing personal data).

2 Purpose

2.1 The purpose of this policy is to set out the length of time that Age UK K&Cs records should be retained and the process for disposing of records at the end of the retention period along with the appropriate destruction for IT equipment.

Scope

2.2 The policy covers the records listed in the Archiving Retention Period document (Appendix 1) irrespective of the way they were created or held including:

- Paper
- Electronic files (including database, Word documents, PowerPoint presentations, spreadsheets, webpages and emails)
- Photographs, scanned images, CD ROMs and video tapes.

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2.3 The schedule aims to include all types of records which Age UK K&C creates or holds. They include:

- minutes of meetings
- submissions from external parties
- contracts and invoices
- registers
- legal advice
- file notes
- financial accounts
- employee information
- publications
- client records and care plans.

2.4 The above is not an exhaustive list but shows a selection of documents as an example.

3 Application

3.1 The policy applies equally to full time and part time employees on a substantive or fixed-term contract and to associated persons who work for Age UK K&C such as agency staff, contractors and others employed under a contract of service.

4 Minimum Retention Period

4.1 Unless a record has been marked for “permanent retention” it should only be retained for a limited period of time. Records that are marked for “permanent retention” should only be held by Age UK K&C as per the Archive and Retention Period Document (Appendix 1).

4.1 Each category will highlight the recommended minimum retention period and this will apply to all records within that category.

5 Archiving Paper and Electronic Information/Data

5.1 When a *paper record* has been deemed suitable for archive it needs to be boxed with a lid and the appropriate form completed showing the contents in the box. This form needs to be duplicated with one put on the inside of the box and the other secured to the outside of the box for clear identification (Appendix 2). When the box is secured and all processes have been completed the box should be placed in a secure area for the duration of its retention period.

5.2 Archiving *electronic* data has a different process and this process needs to be adhered to, so that all the information/data is captured and preserved for the allocated retention period. Appendix 3 shows you how to effectively archive electronic data. Any discs that are used in order to archive the electronic data will be added to the correct archiving box with the appropriate form attached the box as per 5.1. Electronic data is any information/data on kept on the shared drives ‘M’ and ‘Z’. Effective monitoring of the archiving on these shared drives will be the responsibility of the departmental managers for their service and will share with their teams the process in the managers absence.

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6 Destruction

6.1 No destruction should take place without assurance that:

- The record is no longer required by any part of the business
- No work is outstanding by any part of the business
- No litigation or investigation is current or pending which affects the record
- There are no current or pending FOI access requests which affect the record.

6.1 **Destruction of Paper Records** should be carried out in a way that preserves the confidentiality of the record. Non-confidential records i.e. records that are clearly in the 'public domain' can be placed in ordinary rubbish bins or recycling bins. Confidential records should be shredded using the cross head shredder. When shredder is full the bag should be taken out and sealed appropriately, so that no paper can fall out of the bag, and destroyed.

6.2 **Destruction of Paper Records in Acklam** there is a different process as this office holds client personal data. An accredited confidential waste company is used on a regular basis to collect and destroy the confidential waste on site via a purpose built lorry. When this is complete a certificate of destruction is then hand delivered to the organisation.

6.3 **Destruction of Computers and other related IT equipment** is destroyed when the equipment is updated, no longer required or no longer in good working order. An accredited company is arranged to collect the equipment ensuring correct destruction.

7 End of Retention Period

7.1 At the end of the retention period a decision from the recognised responsible person will give agreement for destruction by countersigning the box for complete destruction then the appropriate action to be taken as per 5.2 in this document.

7.2 If the decision from the recognised responsible person is that the retention is increased they must countersign the form located on the box stating the extended date.

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Appendix 1 (electronic copy can be found on the 'M' Drive under Controlled Documents)

1.	Incorporation Documents	
	Memorandum & Articles of Association	Permanently
	Charity Commission Registration	Permanently
2.	Statutory Returns	
	Audited returns and Financial Statements	Permanently
	Declarations of Interest	6 Years
	Register of Board Members	Permanently
	Nursing Home and Registered Care Home Registration Certificates	Permanently
	Nursing Home and Registered Care Home Inspection Reports	Permanently
3.	Strategic Management	
	Business Plans	5 Years after Plan Completion
4.	Insurance	
	Current and Former Policies	Permanently
	Certificate of Employer's Liability Insurance	Permanently (40 years)
	Annual Insurance Schedule	6 Years
	Claims	2 Years after Settlement
	Indemnities and Guarantees	6 Years after Expiry
5.	Accounting and Tax Records	
	Accounting Records	6 Years
	Balance Sheets	6 Years

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	Budgets and Internal Financial Reports	2 Years
	Tax Returns and Records	10 Years
	VAT Records, Purchase Orders, Credit and Debit Notes, Cash Records, Journal Transfer Documents	6 Years
	Payroll Records	6 Years
6.	1 Banking Records	
	Cheques and Paying In Counterfoils, Instructions to Bank	6 Years
	Bank Statements and Reconciliations	6 Years
7.	Other Financial Records	
	Petty Cash vouchers	6 years
	Petty Cash record sheets	6 years
8.	Contracts and Agreements	
	Contracts Under Seal	12 Years after completion
	Contracts for Supply Goods	6 Years after completion
	Loan Agreements	12 Years after last payment
	Successful Tender Documents	6 Years after contract end
	Unsuccessful Tender Documents	2 Years after notification
9.	Property Records	
	Leases	Permanently
10.	Policies & Procedures	
	Policies and procedures	Permanently
11.	Client Records for CQC Registered Activities Only	
	Client Paper Personal Records	8 Years
	Client Electronic Records	8 Years

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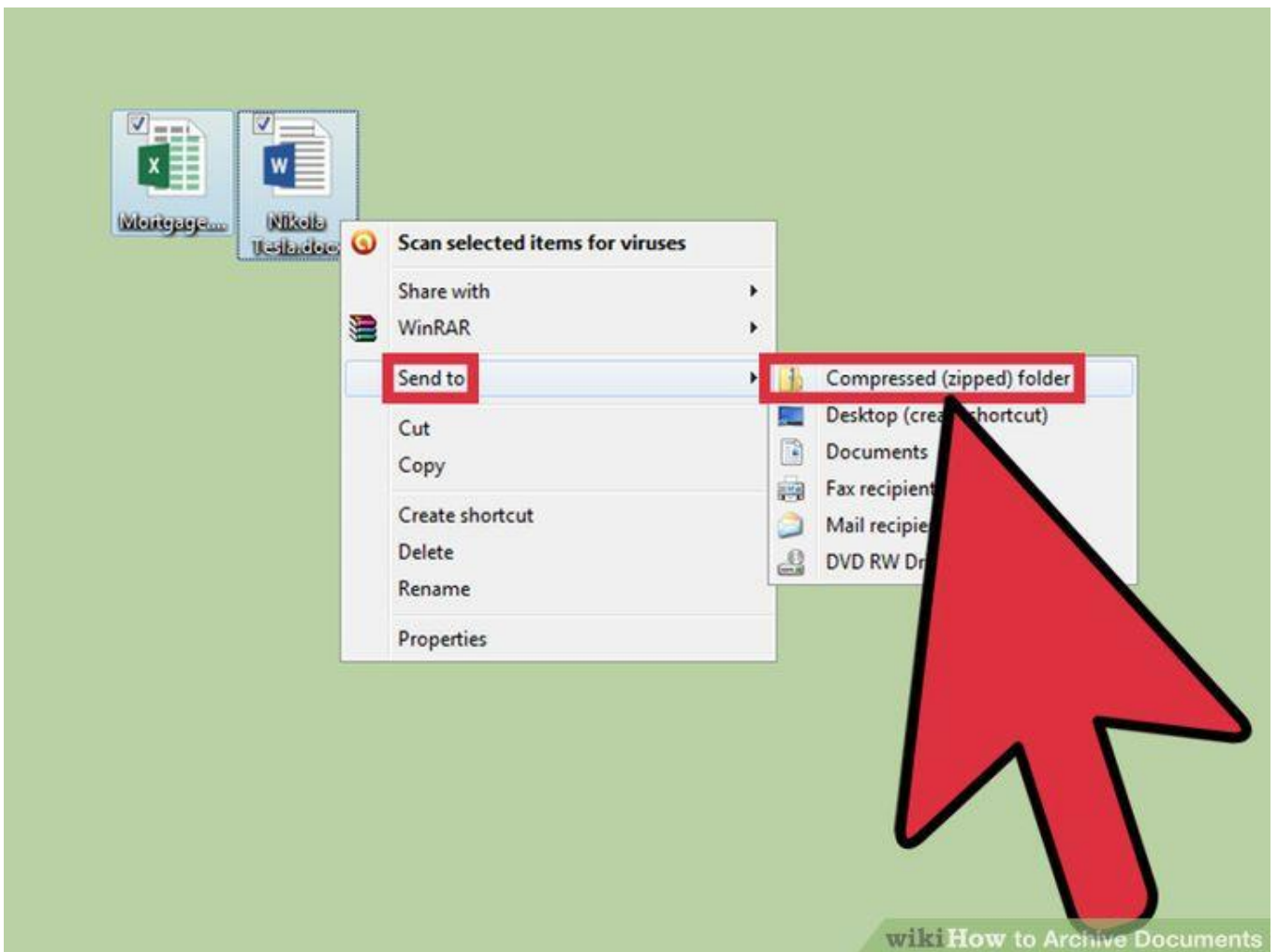
Appendix 2 (electronic copy can be found on the 'M' Drive under Controlled Documents)

Items Archived	Date Archived	Signature of Person Archiving	Print Name of Person Archiving	Retention Period

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Appendix 3

How to archive electronic information/data



1.

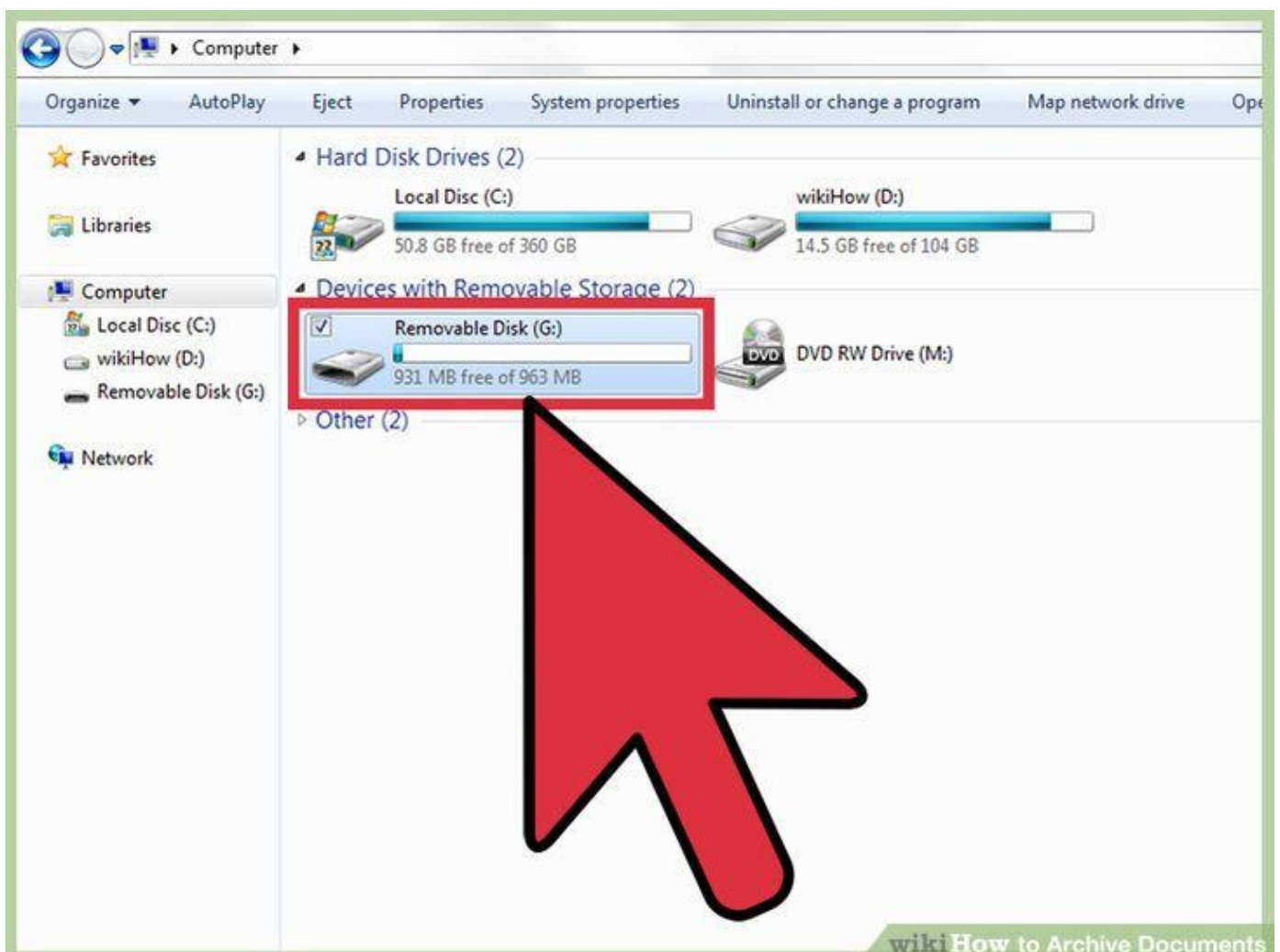
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1

Archive documents in a zip file. Particularly helpful with important, but rarely needed files, zip files reduce the space that documents take up on your hard drive.

- Simply highlight files that you want to convert to a zip format.
- Right click with your mouse and then choose "Send to."
- You want to send the files to a "Compressed (zipped) folder."
- Check that the files are indeed there by double-clicking on the zip folder. If they are, you can then delete the original files.

2.

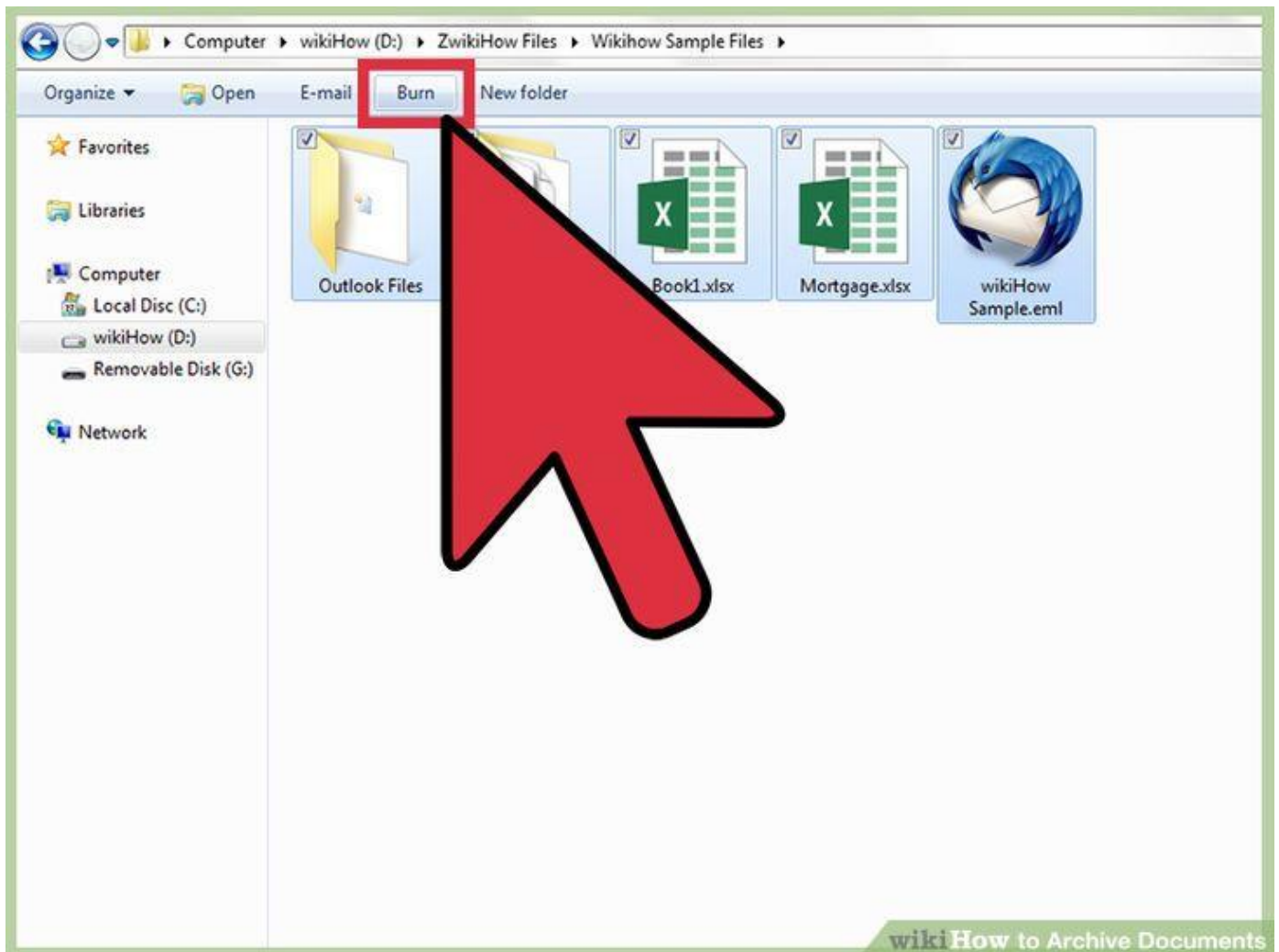


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2

Migrate your documents to a separate storage medium. Popular choices for digital archiving are external tape drives, external hard drives or thumb drives.

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3

Back up documents to a CD or DVD if you have a CD or DVD recorder. Backups are another way of archiving, although you probably know this method by another name -- burning a disc. For

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example, Windows uses a Live File System and a Mastered format (better for compatibility in other devices) for copying files to CDs or DVDs.

- Insert a writable CD or DVD into your computer's CD or DVD recorder for the Live File System.
- When the dialog box appears, click "Burn files to data disc."
- Name the disk, then click "Next."
- Wait for an empty folder for the disc to appear. This means the disc is formatted and ready to copy files.
- Open the folder with the documents you want to archive and drag the files into the empty disc folder.
- For the Mastered format, insert a writable CD or DVD into a computer's CD or DVD recorder.
- When the dialog box appears, click "Burn files to data disc."
- Name the disc and click "Show formatting options."
- Choose "Mastered" and click "Next."
- Wait for an empty folder for the disc to appear. This means the disc is formatted and ready to copy files.
- Open the folder with documents you want to archive and drag these files into the empty disc folder.