

## Age UK Kensington and Chelsea

<b>Title</b>	<b>Record Keeping Policy</b>	
<b>Policy author and owner</b>	<b>CEO and Leadership</b>	
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<b>Date approved</b>	<b>10 January 2022</b>	
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Amended and updated on		
<b>Planned review date</b>	January 2025	

## Age UK Kensington and Chelsea Policy - Record Keeping

### Overview

Whilst carrying out its various functions, Age UK Kensington and Chelsea (AUKC) creates and holds a wide range of recorded information. This includes information and data-related records that relate to areas of governance, finance and resources, staff and employment and service delivery.

It is essential that records are properly retained for business needs and legal requirements. We need to ensure that any record is preserved both for a good audit trail and for historic significance. Accurate and timely record-keeping is also necessary in order to provide evidence of events, incidents and agreements in the event of allegation or dispute. We will ensure that all records are maintained securely in line with our Data Protection policy and that staff and volunteers understand the procedures in place to ensure confidentiality of all personal information held about staff, volunteers and clients.

We recognise that individuals have a right to refuse to provide information about themselves. However, where this may interfere with the delivery of the service or where this may place staff or volunteers at risk, the Service manager, in consultation with the Chief Executive, may decide that we are unable to offer a service.

It is sometimes necessary for records of a service provided by AUKC to be kept in the client's home. Where this is the case, we will ensure that these records are regularly scrutinised by the Service manager - or other nominated member of staff - and transferred to AUKC offices when appropriate or when the service ceases. Assessments and service plans will be reviewed as necessary.

We recognise that individuals have a right to make a Subject Access request to receive copies of records kept on them, including those stored electronically. Such request must be in writing and will be handled by the person assigned as Data Protection Officer.

When an individual requests the erasure of their personal information, we will comply within the limits of our legal and statutory obligations. The permanent retention of records is undesirable and AUKC will not retain records for longer than necessary (particularly those containing personal data). Archiving of records and destruction of records will be carried out in line with AUKC procedures.

## Principles

Our policy is based on the following principles:

1. Records must be factual, consistent and accurate. They must be maintained for specific purposes and the information contained in them should meet those purposes; and
2. Records should be updated contemporaneously. Where this is not achievable, they should be updated as soon as possible after any contact or recordable event; and
3. Records should be accurately dated, timed and signed; and
4. Where possible, the person about whom the record concerns should be involved in the keeping of the record and able to understand what it says; and
5. Records should be stored securely, retained and/or destroyed in line with the retention schedule
6. Records should only be accessed by those staff directly involved in the provision or management of care and services to the individual.

## Application

The policy applies equally to full-time and part-time employees on substantive or fixed-term contracts, volunteers and associated persons who work for AUKC such as agency staff, contractors and others employed under a contract of service.

This policy should be read in conjunction with AUKC policies on Confidentiality and Data Protection.

## Standards

We will maintain the following standards in record keeping:

1. We will record all contacts with clients promptly in the appropriate database; and
2. Before taking details, all members of staff will check that the individual has given permission for their details to be held and establish and record their mailing or contact preferences; and
3. Any notes or contact details will be factual and brief including the main points addressed in the conversation and should not contain the staff member or volunteer's opinion.

## Responsibilities

The Board of Trustees is committed to ensuring that there are robust procedures in place for the creation, maintenance, retention, and destruction of all records which comply with legislation and assist the conduct of AUKC's business.

The Executive team is responsible for ensuring that staff and volunteers are trained in issues around record keeping with particular emphasis on data protection and for ensuring that procedures are being followed. There will be an appointed responsible person for overseeing this policy and its application. All staff and volunteers are responsible for following procedure for the quality of records kept and for reporting any concerns or breach that occurs.

At the end of the retention period, the responsible person will give agreement for those documents to be destroyed or authorise the retention period to be extended.

### **Legislation**

This policy is based on UK legislation and government guidance as follows:

1. The Care Act 2014; and
2. The Health & Social Care Act 2008; and
3. The Data Protection Act 2018 and the General Data Protection Regulations 2016; and
4. The Charities Act 2011 and The Charities Act (Protection and Social Investment) Act 2016.

### **Definition**

Records are documents generated by the work of the organisation. These documents can be current and used for the day-to-day running of the organisation. They can also be historical, showing how an organisation made decisions in the past. Documents that should be retained for permanent preservation are known as archives. This policy covers paper records, electronic files - including databases, Word documents, PowerPoint presentations, spreadsheets, web pages and emails, photographs, scanned images and all other forms of record.

Records held by AUKC includes personal details about staff, volunteers and people who receive a service, complaints, compliments, accidents or incidents, financial accounts, contracts, invoices and minutes of meetings. This is not intended to be an exhaustive list but rather illustrates the types of records that are held.

### **Procedure**

Our procedure for dealing with records includes guidance on what and how to record, the length of time that records should be retained and the process for disposing of records at the end of the retention period.

### **Responsibility and review of this policy**

Each policy will bear a front sheet summarising the date of approval, date(s) of any amendments and proposed date of review.

Responsibility for this policy rests with the Chief Executive (AUKC) and appointed Executive Lead. The policy was approved in January 2022. It is due for review in January 2025 or sooner if circumstances demand otherwise.