

# Record keeping & retention

April 2024

# Data retention and record keeping and destruction schedule

## 1. Policy statement

Engaging Communities Solutions CIC recognises the importance of keeping all data safe and secure and we take all necessary steps to ensure we do this and comply with all relevant laws, regulations, and guidance.

Accurate, proportionate records are kept to:

- Provide a high-quality service to patients and the public.
- To ensure that feedback can be provided.
- To ensure good support and supervision to volunteers
- To comply with all employment, charity, and company legal requirements
- To comply with quality assurance systems.

All records are made and held in accordance with the principles of the Data Protection Act 1998. It is Engaging Communities Solution (ECS) responsibility to ensure that their activities, whether solely or as part of another organisation, are covered by their registration with the Information Commissioner's Office.

Records are retained for the period specified in the procedure below, and with the exception of items that must be stored permanently, are then safely destroyed.

## 2. Procedure

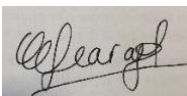
- 1.** All paper-based records are held securely in a locked filing cabinet. These include, HR files, comments received, signed consent forms and Record of Concerns Forms
- 2.** (ROCA). Where possible such records should be scanned and saved electronically.
- 3.** Electronic files are kept securely, are password protected and regularly backed up. These include the database, payroll information, financial records, all HR records, and retention records.
- 4.** Members of the public who choose to engage with ECS are asked for consent that their comments be stored on a secure database and informed that personal information will be kept confidential and will not be

shared unless express consent has been given. When asking for consent to pass on personal details, ECS will always confirm how the information will be used and passed on.

- 5.** When DBS checks are requested, ECS will keep a record of the DBS reference number and the date the check was completed on the relevant volunteer or staff file, but do not keep a copy of the DBS check.
- 6.** ECS complies with the requirements of company law and records are maintained and retained in accordance with the retention summary below. ECS also complies with the Statement of Recommended Practice (SORP) in relation to its financial record keeping and reporting; and all financial records are retained in accordance with the retention summary below.
- 7.** ECS stores insurance policies and employer's liability insurance certificates and records relating to the ownership or leasehold of premises securely and in line with the retention summary below.
- 8.** Confidential hard copy records that are waiting to be destroyed should be kept securely and shredded or disposed of using a reputable company.
- 9.** Electronic records should be destroyed in line with the retention schedule below by a reputable company and a certificate of destruction provided.

**This policy was adopted in April 2024 and will be reviewed in April 2025.**

ECS Managing Director: Elizabeth Learoyd

Signature: 

## Retention schedule

Retention of records in Engaging Communities Solutions (ECS).

Employment Staff and volunteer records should be retained for six years after the end of employment but need to only contain sufficient information in order to provide a reference (e.g., training, and disciplinary records).

Copies of any reference given should be retained for six years after the reference request.

Director's files should be retained for six years.

Application form	Duration of employment, destroy when employment ends
References received	Duration of employment, destroy when employment ends
Sickness and maternity records	Six years from end of employment
Annual leave records	Six years from end of employment
Unpaid leave/special leave records	Six years from end of employment
Records relating to an injury or accident at work	12 years
References given/information to enable a reference to be provided	Six years from end of employment
Recruitment and selection material (unsuccessful candidates)	Two years after recruitment is finalised
Disciplinary records	Six years after employment has ended
Statutory maternity pay records, calculations, and certificates	Retain while employed and for seven years after employment has ended
Redundancy details, calculation of payments and refunds	Seven years from date of redundancy

Note: if an allegation has been made about the member of staff, volunteer, or trustee the staff record should be retained until they reach the normal retirement age or for ten years if that is longer. E.g., around Safeguarding.

Record of comments and other evidence, e.g., observations, interviews, enter and view notes.

Comments recorded on internal databases

Comments recorded on internal databases

Retain in line with local policy

Retain in line with local policy

Any paper-based comments recorded on the database.

Any paper-based comments recorded on the database.

One year (This is in case there is a query regarding an entry on the database)

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### DBS checks

Record disclosure reference numbers, and date of check and return to the volunteer or staff member.

### Record of concern forms (ROCA)

All ROCAs and related information should be kept for ten years. If the record relates to children and young people, the record must be kept until they are 21 years old before destroying. Financial records

### Financial records

Financial records

Financial records

Six years (public funded companies)

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Income tax and NI returns, income tax records and correspondence with HMRC

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Not less than three years after the end of the financial year to which they relate

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Payroll records (also overtime, bonuses, expenses)

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Corporate	
Employers' liability certificate	40 years
Insurance policies	Permanently
Certificate of incorporation	Permanently
Minutes of Board of Trustees	Permanently
Memorandum of association	Original to be kept permanently
Articles of association	Original to be kept permanently
Variations to the governing documents	Original to be kept permanently
Statutory registers	Permanently
Membership records	20 years from commencement of membership register
Rental or hire purchase agreements	Six years after expiry
Research	
Research records, including transcripts, survey responses and analysis records	3 months after the final report has been accepted by commissioner or published on relevant ECS/Healthwatch website.
Others	
Deeds of title	Permanently
Leases	12 years after lease has expired
Accident Books	Three years from the date of the last entry (or, if the accident involves a child/ young adult, then until that person reaches the age of 21).
Health and safety policy documents	Retain until superseded
Assessment of risks under health and safety legislation	Retain until superseded

