



Tell Us North CIC

Record keeping and retention policy

Contents

1. Policy Statement
2. Procedure
3. Retention of Records Schedule

Document details and review

Organisation	Tell Us North CIC
Responsible person	Chief Executive
Date approved	May 2021
Reviewed	May 2022
Next review	May 2023

This policy will be reviewed every year

1. Policy statement

- 1.1. 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.
- 1.2. All records are made and held in accordance with the principles of the Data Protection Act 2018. It is Tell Us North's (TUN) 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.
- 1.3. Records are retained for the period specified in the procedure below, and except for items that must be stored permanently, are then safely destroyed.

2. Procedure

- 2.1. 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 (ROCA). Where possible such records should be scanned and saved electronically.
- 2.2. 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.
- 2.3. Members of the public who choose to engage with TUN 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 TUN will always confirm how the information will be used and passed on.
- 2.4. When DBS checks are requested, TUN will keep a record of the DBS reference number and the date the check was completed on the relevant volunteer or staff file, but will not keep a copy of the DBS check.
- 2.5. TUN complies with the requirements of company law and records are maintained and retained in accordance with the retention summary below. TUN 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.
- 2.6. TUN 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.
- 2.7. Confidential hard copy records that are waiting to be destroyed will be kept securely and shredded or disposed of using a reputable company.

- 2.8. Electronic records will be destroyed in line with the retention schedule below by a reputable company and a certificate of destruction provided.

3. Retention of records schedule

Employment	
In general, the staff records (including those of volunteers) should be retained for 6 years after the end of employment but need only contain sufficient information to provide a reference (e.g., training and disciplinary records). Copies of any reference given should be retained for 6 years after the reference request. Director's files should be retained for 6 years.	
Application form	Duration of employment, destroy when employment ends
References received	Duration of employment and at least one year after the reference is given.
Right to work in the UK checks	2 years
Personnel files, contracts and training records (including formal disciplinary records)	6 years after employment ends
Sickness records	6 years from end of employment
Annual leave records	2 years from date on which they were made.
Unpaid leave/special leave records	2 years from date on which they were made.
Overtime, annual holiday, jury service, time off for dependents, etc	2 years from date on which they were made.
Records relating to an injury or accident at work	12 years
Medical records	40 years
References given/information to enable a reference to be provided	6 years from end of employment
Recruitment and selection material (unsuccessful candidates)	2 years after recruitment is finalised
Disciplinary records	6 years after employment has ended
Flexible working requests	18 months following any appeal. (Further request cannot be made for 12 months following a request plus allowing for a 6-month tribunal limitation period on top)
Whistleblowing records	6 months following the outcome (if a substantiated investigation). If unsubstantiated, personal data removed immediately.
National minimum wage records	3 years after the end of the pay reference period following the one that the records cover.
Payroll wage/salary records (also overtime, bonuses, expenses)	6 years from the end of the tax year to which they relate.

Statutory maternity, paternity, adoption, shared parental pay records, calculations and certificates	3 years after the end of the tax year in which the maternity period ends.
Parental leave	18 years from the birth of the child.
Redundancy details, calculation of payments and refunds	7 years from date of redundancy
Termination of employment – early retirement, death in service	6 years
Retirement Benefits Schemes	6 years
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, surveys	
Comments recorded on internal databases	6 years
Any paper-based comments recorded on the database.	One year (This is in case there is a query regarding an entry on the database)
Signed consent forms	Destroy in line with above
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 till they are 21 years old before destroying.	
Financial records	
Financial records	Six years (public funded companies)
Income tax and NI returns, income tax records and correspondence with HMRC	Not less than three years after the end of the financial year to which they relate
Payroll records (also overtime, bonuses, expenses)	10 years
Pension Contribution records	6 years
Pension Scheme Investment policies	12 years from any benefit payable under the policy
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	6 years after expiry
Others	
Deeds of title	Permanently
Leases	12 years after lease has expired
Accident Books	3 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 and records of consultations with safety representatives and committees	Permanently
Subject access requests	1 year following completion of the request.
Contact details	
Paper forms	Upload to electronic system and destroy once it is confirmed that the contact details have been correctly uploaded (i.e. email sent and does not bounce).
Mailing lists	Retain until unsubscribed, notified of change or cleaned due to non-receipt of emails
Contact database	Retain until we receive a request to delete or are notified of a change of contact details
Postal contacts	Retain until we receive a request to delete.