

Records Management Policy – Peer Support Plus®



Information is a vital asset of Peer Support Plus.

This document describes the policy and procedure used by Peer Support Plus to manage all aspects of records management.

It applies to all internally or externally generated records, in any format or media type, from creation through their life-cycle to eventual disposal.

It is based upon current legal requirements and professional best practice.

It applies to anyone involved with Peer Support Plus who creates, receives, maintains or uses Peer Support Plus records to deliver the Object of Peer Support Plus as stated in our *Constitution*¹.

Records

- are necessary to enable everyday operations;
- are the foundations of good decision making;
- are a vital asset supporting the formation of policy;
- evidence actions and decisions;
- protect the interests of Peer Support Plus;
- protect the rights of Peers, Volunteers, Employees, Members, Trustees and the public.

Scope

Records are an important source of administrative, evidential and historical information.

This policy relates to all records held in any format by Peer Support Plus, including:

- administrative records, for examples: Membership records; Board of Trustees minutes; AGMs; financial transactions; people; complaints; etc.
- Peer, Volunteer and Employee records, for examples: personal data; group participation; progress assessments; Volunteer and Employee supervision; evidence of support including a chronology of actions and events with reasons for decisions taken; etc.

Records Management Policy directs and controls records in a way that is administratively and legally sound while at the same time serving the operational needs of Peer Support Plus and preserving an appropriate historical record.

The key components of records management are:

- Record creation
- Record keeping
- Record maintenance
- Access and disclosure
- Closure or transfer
- Archiving
- Disposal

Aims of our Records Management System

In order to be effective, accurate and safe records must be factual (avoiding jargon and irrelevant speculation), be made as soon as possible after the event, and be dated and signed where appropriate.

Our Records Management System aims to ensure that relevant people are trained in their record keeping responsibilities; and that records:

- are secure
- can be trusted
- are available when needed
- can be accessed by the people entitled to access them
- can be understood by the people entitled to view them
- can be maintained through time
- are retained until no longer required and then disposed of appropriately

Retention of records

The length of time a record must be retained depends on the type of record.

Records shall be retained for the relevant statutory period, or as stated in our Records Retention Schedule (below).

Disposal of records

Records must be disposed of appropriately once their retention period has expired.

Records should not be retained beyond disposal dates.

If paper documents are shredded internally then a cross-shredder must be used. If records are destroyed by an external organisation then a certificate of destruction should be obtained.

Non-compliance with the policy

Serious or repeated non-compliance with this policy will be regarded as misconduct and any person who fails to comply may face disciplinary action. All breaches will be fully investigated.

Note¹ available on our website peersupportplus.org

Records Retention Schedule begins on the next page...

Records Retention Schedule

Category	Record type	Retention	Relevant Legislation
Health & Safety	First Aid/Accident book	<p>Statutory 3 years from the date of the last entry</p> <p>If the accident involves a child or young adult, then until that person reaches the age of 21</p>	<p>RIDDOR – Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013</p> <p>Limitation Act 1980.</p> <p>Special rules apply concerning incidents involving hazardous substances</p>
	Control of Substances Hazardous to Health (COSHH) assessments	<p>Recommended Permanently for records relating to hazardous substances</p>	<p>Control of Substances Hazardous to Health (COSHH)</p>
People Peers	<p>Includes:</p> <ul style="list-style-type: none"> • Personal Information • Contact record • Peer Relationship application / agreement • Privacy Notice consent • Diversity information • Group engagement application / acceptance • Group attendance records • Monitoring and Assessment (e.g. WEMWBS) • Peer Relationship ended date / reasons 	<p>Statutory Destroy 7 years after end of year in which the Peer Relationship ended</p> <p>20 years from the date the Peer Relationship ended if the Named Individual's File includes actions taken by Peer Support Plus in relation to Mental Health Acts</p>	<p>Limitations Act 1980</p> <p>Mental Health Act 1983</p> <p>Mental Health Act 2007</p>
People Volunteers	<p>Includes:</p> <ul style="list-style-type: none"> • Personal information • Supervision record • Training record • Experience record • Performance management • Compliments and Complaints • Resignation date / reasons 	<p>Nothing statutory or recommended Peer Support Plus will apply the Data Protection principles recommended by the Information Commissioners Office (ICO) for an exempt organisation</p>	<p>Information Commissioners Office</p>

People Employees	<p>For many types of employment records, there is no definitive retention period – it is up to the Peer Support Plus to decide how long to keep them. Different organisations make widely differing decisions about the retention periods to adopt. Peer Support Plus must decide what would be a necessary retention period, depending on the type of record</p> <p>Best Practice is based on the time limits for potential tribunal or civil claims, which is often a question of judgement rather than there being any definitive right and wrong. For example, some records managers in public sector organisations recommend keeping an employee's records until they reach the age of 100, especially for pension purposes</p> <p>Where the recommended retention period is 6 years, this is based on the 6-year time limit within which legal proceedings must be commenced under the Limitation Act 1980. Where documents may be relevant to a contractual claim, it is recommended that records are retained for at least the corresponding 6-year limitation period</p>	
	<p>Includes:</p> <ul style="list-style-type: none"> • Personal information • Training record • Performance management • Sickness records • Disciplinary/Grievance records 	<p>Recommended 6 years after employment ceases</p> <p>Limitations Act 1980</p>
	<p>For unsuccessful candidates:</p> <ul style="list-style-type: none"> • Employment application forms and interview notes. 	<p>Recommended 1 year</p> <p>Because of the time limits in the various discrimination Acts, minimum retention periods for records relating to advertising of vacancies and job applications should be at least 6 months. A year may be more advisable as the time limits for bringing claims can be extended. Successful job applicants' documents will always be transferred to their (Named Individual's) file</p>
	Parental leave	<p>Recommended 5 years from birth/adoption of the child 18 years if the child receives a disability allowance</p>
	Redundancy – Reasons, calculations of payments, refunds, notification to Secretary of State	<p>Recommended 6 years from the date of redundancy</p>

Monitoring and Evaluation	<p>Monitoring is the systematic and routine collection of information from projects and programmes and contracts for four main purposes:</p> <ul style="list-style-type: none"> • To learn from experiences to improve practices and activities in the future; • To have internal and external accountability of the resources used and the results obtained; • To take informed decisions on the future of the initiative; • To promote empowerment of beneficiaries of the initiative. <p>Evaluation is assessing, as systematically and objectively as possible, a project, programme, or contract while in-progress and when completed</p>	Recommended 3 years after the end date of the project, programme, or contract	
Meeting minutes	Delivery Team meetings	Recommended 3 years	
	Board of Trustees	Recommended Permanently	
General Administration	Employers Liability Insurance – Certificate (Compulsory immediately we become an employer)	Statutory 20 Years	Employers Liability Regulations
	Insurance – Policies	Statutory 3 years after lapse	
	Leases	Statutory 15 years after expiry	
	Complaints	Statutory 6 years after investigation complete	

	Registers / Sign-in sheets	Recommended 12 months after last entry	
	General correspondence that does not fit any other Category in this schedule	Nothing statutory or recommended Peer Support Plus will apply the Data Protection principles recommended by the Information Commissioners Office (ICO) for an exempt organisation	Information Commissioners Office
Finance	Annual accounts and annual review	Statutory Permanently	
	Accounting records	Statutory 6 years from the end of the financial year in which the transaction was made	Charities Act 2011 Charity Commission - Guidance
	Gift Aid declarations	Statutory 6 years after last payment made	
	Legacies	Statutory 6 years after estate has been wound up	
	Money purchase details e.g. cash books, purchase ledgers, invoices, petty cash, bank statements and reconciliations, sales ledger, donations correspondence	Recommended 6 years after transfer or value taken	
	Income Tax and NI returns, income tax records and correspondence with the HMRC	Statutory 6 years [Not less than 3 years after the end of the financial year to which they relate.]	Taxes Management Act 1970 The Income Tax (Employments) Regulations 1993 as amended
	Pay and expenses records including overtime and bonuses	Statutory 6 years plus the current year	Taxes Management Act 1970

...continued	National minimum wage records	Statutory 3 years after the end of the pay reference period following the one that the records refer to	National Minimum Wage Act 1998
	Working Time - Records	Statutory 2 years from date on which they were made	The Working Time Regulations 1998
	Statutory Sick Pay – Records, calculations, certificates, self-certificate	Statutory 3 years after the end of the tax year to which they relate	Statutory Sick Pay (General) Regulations 1982 GOV.UK Guidance
	Statutory Maternity Pay – Records, calculations, certificates (or other medical evidence)	Statutory 3 years after the end of the tax year in which the maternity period ends	The Statutory Maternity Pay (General) Regulations 1986
	Pension – Records	Statutory Six years plus current year	Pensions Act 2014
	Retirement – Records relating to events notifiable under the retirement benefits Schemes Regulations 1995 Records concerning decisions to allow retirement due to incapacity, pension accounts and associated documents	Statutory 6 years from the end of the scheme year in which the event took place, or the date upon which the accounts/reports were signed/completed	The Retirement Benefits Schemes (Information Powers) Regulations 1995

End