

healthwatch

Shropshire

**Records Retention & Disposal
Policy**

Reviewed: 21/05/2018

Awaiting Board Confirmation

Next Review: June 2019

1. Introduction

This policy sets out the retention and disposal arrangements for records and documents held by Healthwatch Shropshire (HWS). This policy applies to both paper and electronic records (files and emails).

The purpose of this policy is firstly to ensure HWS adheres to the requirements of the Data Protection Act, Principle 5 that:

Personal data processed for any purpose or purposes shall not be kept for longer than is necessary for that purpose or those purposes.

Secondly, the policy also aims to ensure that for all other information, a practical balance is struck so that sufficient information is kept but consideration is given to the constraints of physical and server space.

Staff and volunteers are responsible for completing and maintaining accurate records relating to their own delivery activity and must maintain good practice in the management of their working papers and records.

Staff are responsible for the organisation, maintenance, storage, archiving and disposal of records relating to their area of work. The Chief Officer is responsible for personnel records, financial records and official documents.

2. Retention periods

Type of document	Period that they should be retained
Personnel records 1. Unsuccessful job applications 2. Ex-staff personnel files 3. Appraisal reports 4. Staff references 5. Verbal warning 6. Written warning 7. Final written warning 8. Disclosure & Barring records	1. Six months after date of application 2. Seven years 3. Seven years 4. Seven years 5. Personnel file for 12 months 6. Personnel file for 12 months 7. Personnel file for 12 months or in exceptional circumstances this may be longer 8. Refer to 'Policy for DBS Secure Storage, Handling, Use, Retention & disposal of Disclosures and Disclosure Information'
Associate Membership records	For the duration of an individual's or organisation's membership
Finance records	Refer to the Shropshire RCC Policy for Retention of Accounting Records

Insurance records including policies, schedules and claims 1. Employers Liability 2. Public Liability 3. All other insurance policies	1. In perpetuity 2. Seven years 3. Seven years
Restricted/unrestricted charitable activities including offer letters and contract information	Seven years after completion, unless otherwise specified by contract, SLA or funding arrangements
Research grant records 1. Unsuccessful applicants 2. Successful applicants 3. Final reports	1. Six months after date of application 2. Seven years 3. In perpetuity
HWS Board & Committee Minutes	In perpetuity
HWS Evaluations, monitoring and questionnaires for external organisations	Results to be kept as restricted/unrestricted charitable activities i.e. seven years or longer if specified by funding. Original documents, such as questionnaires to be kept for 12 months unless advised otherwise in funding agreement.
HWS research e.g. surveys, questionnaires 1. Original responses 2. Final reports	1. One year 2. In perpetuity
Comments received	Personal data deleted six months after initial contact, unless communication is still ongoing or there are exceptional circumstances. Anonymised form of the record kept in perpetuity.
Independent Health Complaints Advocacy records	Personal data (service user records) deleted a minimum of six years after expiry of this contract. Anonymised form of the record kept in perpetuity.
Volunteer records 1. Unsuccessful applicants 2. Ex-volunteer files	1. Six months after date of application 2. One year after leaving
Enter & View records 1. Planning meeting records 2. Visit notes 3. Draft reports 4. Final reports	1. 7 years after report published 2. 7 years after report published 3. 7 years after report published 4. In perpetuity
External meetings 1. HWS individuals' notes 2. Official papers and minutes	1. Two years 2. One year
External organisations' communications e.g. newsletters, updates, etc	Six months, except Healthwatch England in perpetuity.

3. Disposal of records

When disposing of paper records containing personal or confidential data, HWS individuals will use a cross cut shredder. When disposing of PCs or laptops, HWS will take necessary steps to ensure personal data is no longer accessible.

Disposal of other paper and electronic records should be managed by the Data Protection controller.

4. Termination or transfer of the existing contract

Upon termination or transfer of the existing contract, appropriate measures to ensure security of records will be put in place.