

## **AB01 - Archiving, Disposal and Storing of Records Policy and Procedure**

### **Purpose**

- | To ensure compliance with statutory and insurer's requirements on information archive.
- | To comply with statutory requirements for confidentiality.

### **Scope**

- | All Service Users', employees', financial, health and safety and maintenance records of Kaf Training And Recruitment Agency.
- | Note: The timescales for retention in this policy are driven by liability requirements under product and service liability regulations. The source of these timescales, which generally exceed Care Regulator requirements, tend to be Insurers, in whose interest it is for the past or present client to retain records allowing effective investigation and defence of claims, which can occur many years in the future. For example, exposure to asbestos.

### **Policy**

- | Records will be archived and stored in a manner which complies with statutes, regulations and insurance requirements, held in secure and safe storage, and are retrievable.
- | Documents and other media will be disposed of in a manner which protects confidentiality.

### **Procedure**

- | All archived records which contain the name and/or personal details of a Service User or employee will be stored with the same security restrictions as if they were live. Documents which require locked storage and/or restricted access when live must be similarly protected when archived.

### **Retention and Storage**

- | Staff rota records will be archived in a safe place, with the contents recorded on the outer package, and retained for 20 years.
- | Records of agency staff will be archived in a safe place, with the contents recorded on the outer package, and retained for 20 years.
- | Records of food provided will be archived in a safe place, with the contents recorded on the outer package, and retained for three years.
- | Records of Fire practices, tests of equipment and remedial actions will be archived in a safe place, with the contents recorded on the outer package, and retained for three years.
- | Records of all visitors will be archived in a safe place, with the contents recorded on the outer package, and retained for three years.
- | Service User's records will be archived in a safe place, with the name of the Service User recorded on the outer packaging, for a period of 20 years. Regulatory authorities require the retention of records of detention, restraint, deprivation of liberty and incidents and occurrences and incidents for a period of three years, but it is recommended that these records are held with other Service User records for the full period of 20 years to meet insurance requirements.
- | Employee records will be archived in a safe place, with the name of the employee recorded on the outer packaging, for a period of 20 years.
- | Accounting records will be archived in a safe place, with the financial year recorded on the outer packaging, for a period of 7 years.

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- | Final annual accounts will be archived in a safe place, with the financial year recorded on the outer packaging, for a period of 30 years.
- | Company legal records will be archived in a safe place, with the financial year recorded on the outer packaging, for a period of 7 years.
- | Health and Safety records, including occurrences and incidents which require notification to regulatory bodies will be archived in a safe place, with the contents recorded on the outer packaging, for a period of 20 years.
- | Maintenance records, including electrical testing, fire safety water testing, and medical gas safety storage and transport, will be archived in a safe place, with the contents recorded on the outer packaging, for a period of 20 years.
- | Purchasing records, excluding medical devices and medical equipment will be archived in a safe place, with the month and year recorded on the outer packaging, for a period of 18 months.
- | Purchasing of medical devices and equipment records will be archived in a safe place, with the year recorded on the outer packaging, for a period of 11 years.
- | Money or valuables records will be archived in a safe place, with the year recorded on the outer packaging, for a period of 4 years.
- | Policies and procedures will be archived in a safe place, with the year recorded on the outer packaging, for a period of 4 years.

### **Disposal of Documents**

- | Any document which may identify or allow the identification of any person and/or contains personal information must be shredded before disposal.
- | A cross cut shredder is the preferred method of disposal; failing that, a fine cut single pass shredder must be used.
- | A shredder must be supplied at all locations within the establishment wherein documentation is separated out for disposal, in order to reduce the risk of whole stored documents being erroneously disposed of whilst in transit.
- | For establishments with large volumes of documentation disposal, the preferred method will be disposal through a registered document disposal contractor which shreds the documentation on site where the process can be monitored by the establishment.

### **Disposal of Electronically Stored Data**

- | Computer hard drives which may contain personal information must be wiped clean before disposal or sale using appropriate "shredding" software. Deleting files or routine formatting do not provide sufficient safeguard from the retrieval of data.
- | Other data storage media which may contain personal information, such as memory sticks, must have the data overwritten in a manner that fills the drive before disposal or sale, preferably using specialist software.
- | Optical storage media which may contain personal information, such as CDs and DVDs, must be physically destroyed before disposal.
- | Magnetic storage media which may contain personal information, such as tapes, must be physically destroyed before disposal.
- | If in doubt, physically destroy the data storage media.

**Note: All QCS Policies are reviewed annually, more frequently, or as necessary.**