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Records Management in Charities: A Toolkit for Improvement

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What are records?





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Why should we care?

- ❖ Regulatory requirements
- ❖ Identity
- ❖ Impact
- ❖ Day-to-day efficiency
- ❖ Trust and confidence in charities





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The Regulatory Environment

What organisations can ask for records?

What guidelines tell you what they can ask for?

- Charity Commission
- Statement of Recommended Practice (SORP)
- Reporting a serious incident
- Companies House
- Fundraising Regulator
- Information Commission – GDPR
- Community Interest Companies Law
- Government Enquiries e.g. IICSA

Bottom line: lots of different regulators can ask you for all sorts of things and expect you to have them

Key issue	What sort of evidence/records needed?	Example of where is this information found?	How long these records should be kept for	What laws/regulation is applicable?
Governance	Decision making, positions of responsibility, processes and procedures	Minutes of meetings (Board and subcommittees); accounts; Annual Reports;	Permanently - this shows the development of the organisation	Charity Commission requirements, FoI, potential use as evidence or for future regulation
Effectiveness /Impact	Decision making, records of long term impact, processes and procedures	Reports/monitoring of services; Annual Reports; correspondence	Some data should be kept long term, other info for several years after end of project	Charity Commission, SORP
Donor Data	What data is held on donors, what they have agreed to. Data security policy and processes. Fundraising projects and policies	Donor databases/ CRM software, records generated by fundraising function of the organisation	Depends on protocols agreed with donors – but policies etc. should be stored long term	Data Protection, SORP, Fundraising Regulator requirements
Safeguarding	Policies, staff and volunteer checks (DBS/CRB), personnel files	HR and Policy functions. This could potentially cover staff and volunteer personnel files as well as service user case files	Some basic information – permanently. Other information securely stored while needed – several years (references)	Data Protection, potential use as evidence, for future regulation. Relevant safeguarding legislation of supervising authorities
Risks e.g. closure, fraud, whistleblowing	Financial data, records of decision making, risk assessments	Accounts; Annual Reports; minutes of meetings;	At least seven years, potentially permanently	Data Protection, SORP, Charity Commission, in case of potential future regulation or litigation
Access to information	Information about donors, beneficiaries, service users and their families	Case files, fundraising databases	As long as a data subject (person the data is about) might want to access this information	Data protection, in case of an investigation, potential litigation or a request from the data subject

Challenges

Piecemeal and complex regulation

Resources

Lack of guidance

Lack of buy-in

Lack of coordination



Records Management in Charities: A Toolkit for Improvement

1). Self-assessment

2). Steps for drawing up an improvement plan

- risk assessment 
- policy development
- implementation plan
- monitoring and review
- further resources



Self Assessment

Q7: Is the policy formally endorsed by senior managers and/or trustees within the organisation?

Yes		No	x	Partially		Not applicable	
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Comment:

The policy has been developed and is available on our intranet (give address), however formal sign off is so far limited to the policy manager.

Action Required?	Y/N YES	Follow up action: <i>Ask policy manager to present the policy to the senior management team and/or trustees and get it reviewed and formally signed off</i>
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Records Management Improvement Plans

- Does not assume you will get it perfect straightaway
- Allows you to make a plan to fit your size, scale and key issues
- Helps you make a business case to bid for resources to do this work if necessary
- Allows a longer term process of review and improvement



Image courtesy of Blind Veterans UK



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My question to you:

- What are your biggest challenges when it comes to records management?

Q and A





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Save the date: Guidance launches 15th June, 2017, 3:30pm at the British Academy, London. Go to www.cfg.org/events to reserve your place and get a copy of the toolkit

Download the toolkit from 15th June from:

www.voluntarysectorarchives.org.uk

www.cfg.org

Or email c.clements@ucl.ac.uk

THANK YOU



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