



Archiving

INTERNAL AUDIT GUIDEBOOKS

- ① **Recording Transactions in a Money Book**
- ② **Safe Contents & Weekly Safe Checks Books**
- ③ **Prepaid, Equals, and Bank Cards**
- ④ **Corporate Floats**
- ⑤ **Archiving**
- ⑥ **Monthly Manager Checks**
- ⑦ **Managing Service User Finance Incidents**
- ⑧ **Finance in Your Services:
Security, Accountability, and Transparency**
- ⑨ **Manager's Financial Guide**

TABLE OF CONTENTS

Page 1

What, When, and Why to Archive

Page 2

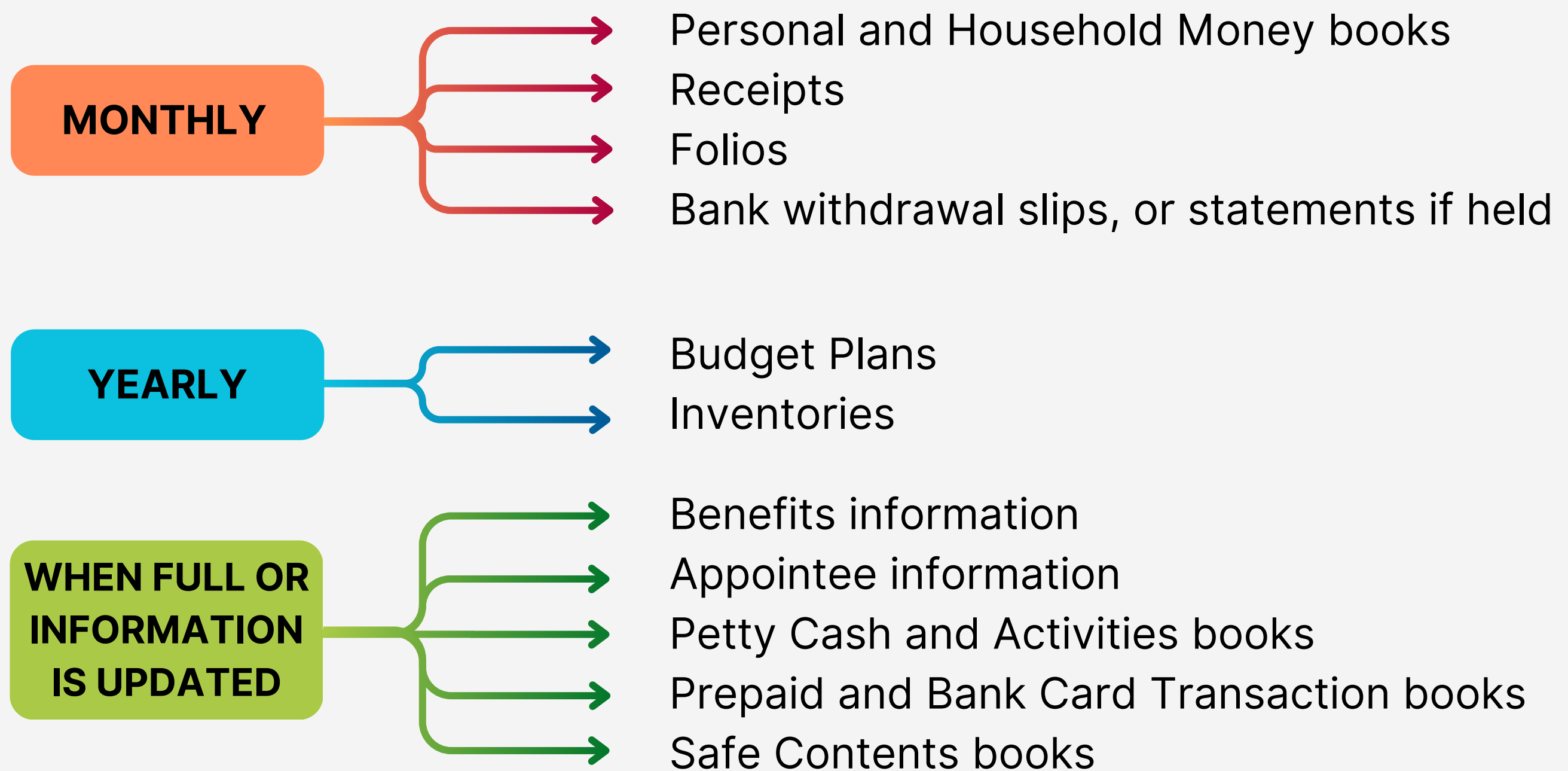
Monthly Archiving of Books and Receipts

Page 3

Labelling Archived Materials

1 What, When, and Why to Archive

WHAT DO I NEED TO ARCHIVE, AND HOW OFTEN?



WHY IS ARCHIVING IMPORTANT?

To ensure that finance documents are not lost or misplaced.

To ensure that finance documents can be located and accessed easily.

To protect evidence of support that has been provided.

To comply with data protection laws and regulations.

GUIDANCE FROM THE ARCHIVING POLICY

- 12 months of money books, receipts, and folios are to be held on-site in a location that only staff can access, to comply with General Data Protection Regulation (GDPR).
- Previous money books, receipts, and folios should be kept for 8 years after support is no longer provided to the relevant service users.
- Speak to your local office if there is limited space at the service, as archiving space may be available elsewhere.

It's the end of the month; what do I need to prepare?

1

Ensure **new copies of all money books** are in place for the new month.
See step 2 for exceptions.

2

Money **books should be archived monthly** alongside corresponding receipts and folios.

The following **exceptions** run as long as they need to:

- Petty Cash book
- Prepaid and Bank Card Transaction book

3

A senior staff member must complete **Monthly Manager Checks** at the end of every month. This includes checking receipts against money books. Only the receipts for the current month should be kept in the tin or folder.

4

Receipts and folios should be archived in an envelope that is clearly labelled with the fund's initials and the month.

Remember:

- One fund and one month per envelope.
- Each receipt should have a folio / Petty Cash Voucher attached to it.
- Seal the envelope.



WHERE CAN I FIND THE ARCHIVING LABELS?

The 'archive file / envelope label' and 'archive box label' can be found within the 'Management and Archiving of Records' corporate policy on the **Staff Area of the Creative Support website**.

HOW DO I COMPLETE THE ARCHIVING LABELS?

It is good practice to store all of one service user's documents together in one box. If multiple service users' documents are contained in the archiving box, list their initials in 'service user name'.

Refer to the 'Management and Archiving of Records' policy to confirm which category the archiving documents fall under. Tick **category number 2** for service users' financial records.

Archive box label

State as applicable

Service: _____
 Service user name: _____
 Employee name: _____
 Head Office department: _____

Period covered

From (date of earliest record, MM/YYYY)
 To (date of most recent record, MM/YYYY)

Record category (refer to p2-3 of Management and Archiving of Records policy)
 Circle one category only

0	1	2	3	4	5	6	7	8
9	10	11	12	13	14	15	16	17

Destruction date (MM/YYYY)

Notes:

(1) If this box contains records of an individual service user/employee still with Creative Support, the retention period does not begin until the professional relationship with that individual has ended.

(2) If this box contains records with different retention periods, please use the lines above to record any dates at which the oldest records were removed/destroyed, and to record the dates at which the next retention period for records in this box starts/ends.

Archive file/envelope label

State as applicable:

Service: _____
 Service user name: _____
 Employee name: _____
 Head Office department: _____

Period covered: from: _____ (MM/YYYY) to: _____ (MM/YYYY)

Type of record (Select one category only)

Category	Tick
0 (Common records)	
1 (Employee records, relations and management)	
2 (Financial)	
3 (Procurement)	
4 (Land and property maintenance)	
5 (Organisational management)	
6 (Governance)	
7 (Customer contact/support)	
8 (Publications and Engagement)	
9 (ICT records)	
10 (Data and Intelligence Reporting)	
11 (Information Management)	
12 (Legal)	
13 (Corporate Providers and Market Oversight)	
14 (Inspection records)	
15 (Policy and strategy)	
16 (Enforcement)	
17 (Service user records)	

Retention period starts: _____
 Retention period ends: _____ (MM/YYYY)

Note: if this file/envelope contains records of an individual service user/employee still with Creative Support, the retention period does not begin until the professional relationship with that individual has ended.

Signature List

Sign to confirm that you have read and understood the guide to ***Archiving***, and that you have raised and resolved any queries with the service manager or the Internal Audit team.

[illegible]