

Work Instruction (WI) for:			
Records management			
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Revision History			
Version	Description	Author	Date
1	Initial version	Paul Smallcombe	25/10/2010
1.1	Added ref to Barts and The London NHS Trust Archives	Paul Smallcombe	08/09/2011
1.2	Updated references and Appendix B	Paul Smallcombe	15/10/2019

Purpose and Objective:	
To define the procedures for storing active and semi-active records and managing their disposal.	
Trigger:	
Inputs:	
Outputs:	

References:
SOP DG09 – Information Classification SOP DG14 – Storage of Information SOP DG15 – Handling of Information SOP DG16 – Disposal of Information QM Records Retention Policy and Schedule QM Archive Collection Policy

WI Text

	Responsibility	Activity
1.	Departmental Records Champions	Storage Locations & Conditions Records which are not in active use but have not yet reached the end of their retention should be kept in storage for the remainder of their prescribed retention period. Semi-current records such as these should be kept in a secure location, i.e. with controlled access, which is free from conditions which may damage the records such as fire risk, damp or vermin, and which complies with any Health & Safety regulations. Records should not be stored in areas accessible to the public or in corridors. Records

		storage locations should be well-ordered and there should be an inventory maintained, for example in a spreadsheet, of all the records stored there to facilitate use and easy retrieval.
2.	Departmental Records Champions	Electronic records should be stored on shared drives which are backed up. Records must not be stored on local drives (e.g. C: drive or the Desktop) or on home computers. Networked personal drives (e.g. P: drive) should only be used for the storage of personal information, drafts or as a temporary storage location. Records must be stored in a format which remains readable for the duration of the retention period stated on the Records Retention Schedule . This means they should be checked every five years and/or when there is a software upgrade, whichever comes first, or as prescribed by IT Services. Consideration should be given to the possibility of deterioration of media used for storage of records; manufacturer's recommendations should be followed for storage and handling. For long term storage, the use of paper and microfiche should be considered.
3.	Departmental Records Champions	Inventorying Records Records should be placed in boxes and the contents listed. Try to keep similar types of records and similar dates together. If records are mixed within the same box then they must be listed at item/file level on the inventory (see step 6.). Do not overfill boxes.
4.	Departmental Records Champions	Using the Inventory template spreadsheet, list the contents of each box or each folder as per steps 5. to 11. The template is available from the Records & Information Compliance Manager .
5.	Departmental Records Champions	DEPARTMENT CODE – enter the assigned two-letter code for your department e.g. WO.
6.	Departmental Records Champions	BOX/ITEM NUMBER – give each box a unique identifier (write this on the outside of the box). Never re-use a number once the contents have been destroyed, so it is recommended to start at 00001. Inventorying at box level means that the whole of the box is given one description. Inventorying at file level means that each item within the box is numbered and described individually. If file level description is used then the rows on the inventory should be numbered accordingly e.g. the box no. is 07896: file 1 in the box should be numbered '07896/01', file 2 '07896/02' and so on. If listed at box level the number of the box will simply be '07896'.
7.	Departmental Records Champions	LOCATION – enter the room and/or shelf number e.g. 'Shelf A'.
8.	Departmental Records Champions	TITLE/DESCRIPTION – this should be detailed enough to enable someone else, perhaps in several years' time and with no knowledge of the records, to identify an item. Please avoid using abbreviations or project names alone as it is not guaranteed that others will know the meaning in years to come. Descriptions such as 'miscellaneous', 'various', 'sundry', 'bumf' must never be used. Equally 'Mike's stuff' or 'general files' are not adequate.

9.	Departmental Records Champions	OWNER – this should be a department/sub-team or ideally a specific person named by their job role and not by their name.
10.	Departmental Records Champions	DATE FROM and DATE TO – enter the earliest and latest date of records in a box or folder. If both dates are the same year, put it in both fields.
11.	Departmental Records Champions	REVIEW DATE – retention cannot be indefinite, so each box must have a date when the records will have reached the end of their retention. Calculate this using the Records Retention Schedule (see from step 12. below). If the dates of records within a box vary, use the latest date to calculate the review date of the box. You might wish to make a note of the records series and retention period used in an optional column.

- Example fields for a records inventory:

Dept. Code	Box/Item No.	Location	Title/Description	Owner (Job role)	Date From	Date To	Review Date
WO	14	Shelf A	Records documenting the award of bursaries, scholarships, fellowships, other funds	Director of Dept.	2016	2017	August 2023

12.	Departmental Records Champions	<p>Calculating Review Dates</p> <p>The Records Retention Schedule lists the retention period for each type of record created or received. There are three fields:</p> <ol style="list-style-type: none"> 1. the ‘Records Series’ is the group or collection of records that we use and keep, 2. the ‘Retention Period’ gives a length of time and 3. the ‘Trigger’ column sets out when the retention period should start. <p>If all records in a box have the same retention period, calculate the Review Date from the latest date in the box. If records have different retention periods, apply the longest retention policy to the whole box. This will ensure that all records are kept for the appropriate period of time.</p>
13.	Departmental Records Champions	Retention periods are calculated either from the end of an academic year, the end of a financial year or from a calendar year during which some ‘trigger’ event took place or the year a record was created. Payroll records are uniquely based on the UK tax year. The end of the retention period is called the review date and can only be January 20XX or August 20XX (apart from payroll which is May). Retention periods need to be worked out in whole years.
14.	Departmental Records Champions	<ul style="list-style-type: none"> ○ Based on Academic year <p>The Academic year (Ay) runs from 1 August to 31 July The retention period will be calculated from the academic year to which the records relate or in which the event took place.</p>

		<p><i>Example:</i> say the record relates to Ay 2017/18 and the retention period is 3 years from this Ay. This record should be reviewed in August 2021.</p> <ul style="list-style-type: none"> ○ Based on a Termination year (Ty) or year of creation (Cy) This retention period may be used for records which span several years until they are ‘closed’, a last action is taken or have a trigger date when retention should begin, such as the termination of an employee (Ty) i.e. the calendar year the file was closed because the project was completed, a contract ended, a case was settled or the student/employee left Queen Mary. Alternatively retention may begin from the calendar year (or month) in which the record is created or received (Cy/Cm). <p><i>Example:</i> say the record relates to a student whose relationship with Queen Mary ended in 2016 (Ty) and the retention period is 6 years from this Ty. This record should be reviewed in January 2023.</p> <p><i>Example:</i> another record relates to some annual tests carried out on some equipment during 2015 (Cy) and the retention period is 5 years from when the records were created. This record should be reviewed in January 2021.</p> <ul style="list-style-type: none"> ○ Based on Financial year The Financial year (CFy) runs from 1 August to 31 July. Records whose retention is based on the College’s financial year must have their review date calculated from the end of the relevant financial year i.e. 31 July, during which the transaction took place or to which the record relates. For example invoices dated July 2017 will be given a review date of August 2023 but invoices dated August 2017 would not be reviewed until August 2024. This ensures that the full number of complete financial years has elapsed. <p><i>Example:</i> say the invoice relates to CFy 2018 (i.e. it is dated between 01/08/2017 and 31/07/2018) and the retention period is 6 financial years from the financial year in which the transaction took place. This record should be reviewed in August 2024.</p>
15.	Departmental Records Champions	<p>Retrieving Records from Storage and Access If records need to be retrieved from semi-current storage, then the request should be directed through the Records Champion. This is to ensure that any loans are recorded on the inventory to show who has items, from which date and prevent them from going missing. When items are returned, the loan should be cancelled and the item replaced in storage by the Records Champion. Make a note in the loan column of the dates the item was removed and returned to be kept as an audit trail.</p>
16.	Departmental Records Champions / Records & Information Compliance Manager	<p>Annual Review Process Once (or twice) a year, records which have reached the end of their retention should be reviewed to determine whether they need to be retained any longer for operational or business reasons or whether they can be destroyed. In addition, a few records series may be transferred to The Archives at this time. The disposition decision should be authorised by an appropriate individual(s) who has</p>

		<p>knowledge of the records, ideally the owner. This is one of the key mechanisms to ensure compliance with the Records Retention Policy.</p> <p>The Records & Information Compliance Manager will be responsible for sending out a reminder for this process to be carried out. Technically, due to the different ways of calculating retention periods, reviews should be due in January and August each year. However, to reduce the burden of the task, reviews may only be carried out at one point in the year.</p>
17.		<p>On the spreadsheet inventory filter the Review Date column to see only those records which have reached the end of their retention and cut and paste this in to a new spreadsheet. Send the spreadsheet to the records owners and request that a review decision is made. The recipient should mark up the list by entering a 'D' for records to be destroyed and 'R + year for future review', e.g. R 2019, for records to be retained in a column called 'Retain or destroy'.</p> <p>Records should not normally be retained once their prescribed retention period has been completed. If the decision is taken that records are to be retained longer there MUST be a legitimate reason, such as anticipated or actual litigation, especially if the record contains personal data.</p> <p>Destruction should only take place as part of the regular, systematic review and only where authorised.</p> <p>At the end of the retention period, certain records do not need reviewing before destruction and disposal may not need to be recorded (e.g. ephemeral or transitory records - see Appendix A). Some records, which have historical importance to QMUL, may be transferred to The Archives for permanent preservation. These have been marked on the Retention Schedule with an (A). If in doubt please seek advice from the QMUL Archivist <u>before</u> destroying records. A useful steer of information of likely archival value is in the appendix of the Archives Appraisal Policy.</p>
18.	Records & Information Compliance Manager	<p>Documentation should be kept noting what was destroyed on what date and who authorised this. This can be done by cutting the rows out of the inventory spreadsheet and making a new one with columns 'Date Destroyed' and 'Authorised by' and printing when completed. The Records & Information Compliance Manager will be responsible for retaining the master copy of the audit trail of all records destroyed. See also step 20. below. A certificate of destruction must be obtained for any records destroyed by an external party.</p>
19.	Departmental Records Champions / Records & Information Compliance Manager	<p>The local records inventory should then be updated by deleting rows and changing the Review Dates as appropriate.</p>
20.	Departmental Records Champions / Records &	<p>Disposition</p> <p>Records which have reached the end of their retention and have been reviewed are subject to disposition which can consist of one of two actions:</p>

	Information Compliance Manager	<ul style="list-style-type: none"> i. Destroy: appropriate destruction of those records which no longer have value (see step 21.), or ii. Transfer for permanent preservation: transferral to the College Archives of those records with continuing value (see step 22.). <p>Any record which is the subject of an ongoing information request (or legal case) should not be destroyed, even if due for destruction according to the retention schedule.</p>
21.	Departmental Records Champions	<p>Destruction</p> <p>All records must be disposed of appropriately and this will depend of their information classification and medium in which it is held. Follow SOP DG16 – Disposal of Information.</p>
22.	Departmental Records Champions / The Archivist	<p>Transfer to The Archives</p> <p>Those records which have been selected for permanent preservation will be transferred to The Archives based in the Main Library at Mile End as per the Archives Collection Policy. Once review has taken place arrangements shall be made with the Archivist to receive records as necessary.</p> <p>Some records from the School of Medicine and Dentistry may be transferred to The Archives of Barts Health NHS Trust at Prescot Street.</p>

Appendix A – Records which may be routinely destroyed

Ephemeral material should be disposed of on a routine basis. As a rule, the following types of records have no significant operational, informational or evidential value. They can therefore be destroyed as soon as they have served their primary purpose.

Examples

- Announcements and notices of meetings and other events, and notifications of acceptance or apologies
- Requests for stock information such as maps and travel directions, brochures etc.
- Requests for, and confirmations of, reservations for internal services (e.g. meeting rooms, car parking spaces, pool cars) where no internal charges are made
- Requests for, and confirmations of, reservations with third parties (e.g. travel, hotel accommodation, restaurants) when invoices have been received
- Transmission documents: letters, fax cover sheets, email messages, routing slips, compliments slips and similar items which accompany documents but do not add any value to them
- Message slips
- Superseded address lists, distribution lists etc.
- Duplicate documents such as:
 - ‘CC’ and ‘FYI’ copies
 - Unaltered drafts
 - ‘Snapshot’ printouts or extracts from databases
 - ‘Day Files’ (chronological copies of correspondence)
- Personal diaries, address books etc.
- Working papers, where the results have been written into an official document and which are not required to support it
- Non-business emails, e.g. lunch arrangements
- Stocks of in-house publications which are obsolete, superseded or otherwise useless e.g. magazines, marketing materials, prospectuses, catalogues, manuals, directories, forms, and other material produced for wide distribution
- Published or reference materials received from other parts of the institution or from vendors or other external organisations which require no action and are not needed for ‘record’ purposes, e.g. trade magazines, vendor catalogues, flyers, newsletters
- Copies of transactional documents like invoices and goods received notes

Appendix B – quick reference tables for calculating review dates

Retention Period in academic or financial years	6 years	3 years	10 years	20 years
Ay or CFy	Review Date	Review Date	Review Date	Review Date
2006/07 (i.e. 01/08/2006 – 31/07/2007)	August 2013	August 2010	August 2017	August 2027
2007/08 (i.e. 01/08/2007 – 31/07/2008)	August 2014	August 2011	August 2018	August 2028
2008/09 (i.e. 01/08/2008 – 31/07/2009)	August 2015	August 2012	August 2019	August 2029
2009/10 (i.e. 01/08/2009 – 31/07/2010)	August 2016	August 2013	August 2020	August 2030
2010/11 (i.e. 01/08/2010 – 31/07/2011)	August 2017	August 2014	August 2021	August 2031
2011/12 (i.e. 01/08/2011 – 31/07/2012)	August 2018	August 2015	August 2022	August 2032
2012/13 (i.e. 01/08/2012 – 31/07/2013)	August 2019	August 2016	August 2023	August 2033
2013/14 (i.e. 01/08/2013 – 31/07/2014)	August 2020	August 2017	August 2024	August 2034
2014/15 (i.e. 01/08/2014 – 31/07/2015)	August 2021	August 2018	August 2025	August 2035
2015/16 (i.e. 01/08/2015 – 31/07/2016)	August 2022	August 2019	August 2026	August 2036
2016/17 (i.e. 01/08/2016 – 31/07/2017)	August 2023	August 2020	August 2027	August 2037
2017/18 (i.e. 01/08/2017 – 31/07/2018)	August 2024	August 2021	August 2028	August 2038
2018/19 (i.e. 01/08/2018 – 31/07/2019)	August 2025	August 2022	August 2029	August 2039
2019/20 (i.e. 01/08/2019 – 31/07/2020)	August 2026	August 2023	August 2030	August 2040

Retention Period in calendar years	6 years	3 years	10 years	20 years
Calendar year	Review Date	Review Date	Review Date	Review Date
2006	2013	2010	2017	2027
2007	2014	2011	2018	2028
2008	2015	2012	2019	2029
2009	2016	2013	2020	2030
2010	2017	2014	2021	2031
2011	2018	2015	2022	2032
2012	2019	2016	2023	2033
2013	2020	2017	2024	2034
2014	2021	2018	2025	2035
2015	2022	2019	2026	2036
2016	2023	2020	2027	2037
2017	2024	2021	2028	2038
2018	2025	2022	2029	2039
2019	2026	2023	2030	2040