

OA Reablement Service	OA Day Care	OA Residential Care	Domiciliary Services	DMH Day Services	DMH Supported Living	DMH Residential Services	EIA'd
✓	✓	✓	✓	✓	✓	✓	✓

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ARCHIVING PROCEDURE

POLICY

To ensure all Cumbria Care documentation is archived appropriately in line with the Cumbria County Council procedures.

PROCEDURE

1. Files / documents should be fully archived for service users and staff who have left the service. Otherwise, they are deemed as still being a live file and must be stored appropriately as agreed with the manager.
2. All managers, supervisors and administration staff must familiarise themselves with the Cumbria County Council Records Retention and Disposal Schedule available on the intranet – Records management. A slimmed down version of this document can be seen at Appendix 3.
3. It is the responsibility of each service to ensure all documentation is archived appropriately in line with the above schedule. If there are multiple envelopes 1 of x, 2 of x, 3 of x etc. do not sellotape the envelopes together. Make sure the numbers of envelopes used are noted on the Appendix 2 excel spreadsheet.
4. All documents must remain together and either be kept in the original card folder or be placed in an envelope. All plastic wallets must be removed before archiving.
5. For staff personnel files only, see overleaf.
6. Nothing should be archived alphabetically. Records must be archived in year order (see below).

Service user files

1. Service user files fall into three categories and must be stored accordingly:
 - No safeguarding / no mental health issues = **+ 7 years**
 - Safeguarding / adult protection issues / DOLS = **+ 10 years**
 - Mental health act engagement / mental / sectioned disorder issues = **+ 10 years**

An example of this is where a service user has had mental health involvement, last date of entry was 12/12/20 therefore the file should be stored in a box with a destroy date written on it as being 31/12/30.

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Amendment No	1	2	3	4	5	15/07/13P&P

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2. All documentation must be stored by:
 - taking the last date of entry in the file / document e.g. 03/02/20
 - adding the appropriate retention years according to the retention schedule e.g. 2020+7 years for service user file
 - but ensuring the destroy date is always the 31st December of the destroy year e.g. 31/12/27

3. Once all the plastic wallets have been removed from the service user file and the last date of entry has been established, the documents must then be placed in a large envelope or held in the original card folder. If there is more than 1 envelope / file, it must be numbered accordingly e.g. 1 of 3, 2 of 3 and 3 of 3. If there are multiple envelopes 1 of x, 2 of x, 3 of x etc. do not sellotape the envelopes together. Make sure the numbers of envelopes used are noted on the Appendix 2 excel spreadsheet.
Either complete Appendix 1a or write the same information on to the front of the file / envelope.

4. Once the above has been completed the envelope / file must then be placed in the appropriately sized box.
Please follow details below for ordering appropriate boxes:
 - Boxes must be ordered through Eproc. The supplier is Lyreco and the box code is 723.111
 - You will need to be sure to identify precisely how many boxes are required (the minimum order is 10 boxes and boxes need to be ordered in denominations of 10). You will need to detail the cost centre / nominal details as well as the full delivery address (including postcode, a contact name of someone at the delivery address and a contact number).
 - The boxes will be delivered direct to the delivery address you have stated and should generally be next day delivery depending on the time they get the order.

5. You need to print off a copy of the Excel spreadsheet with the details of the box contents and place this inside the box. You only need to write the actual box number on the front. Please ensure you write this in **PENCIL ONLY**.

6. You will need to log the service user name/s on the indexed electronic records transfer form Appendix 2. The Excel electronic form is available on the intranet.

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When the box is full:

- Print off a copy of the excel spreadsheet with the details on and add it to the box.
- Keep a copy of the electronic version, Appendix 2 for future reference.
- Write box number of the front of the box in pencil only
- Arrange for the boxes to be distributed to Records Management OR keep on site in a suitable storage area until the destroy date has been reached.
- Under no circumstances should anything be sent by external post e.g. Royal mail.

Staff personnel files – Terminated (Employee is no longer working for either Cumbria Care or Cumbria County Council (as far as you are aware)).

1. All documentation must be removed from plastic wallets and the file must be sorted through to identify any duplicate copies of information. Where there are duplicate copies, the original must be retained and the other destroyed as confidential waste. In addition, this must be archived as the SU file and sent to Archives centre not HR.
2. The last date of entry must be established and the contents then placed in a large envelope with the following details on (appendix 1b):
 - Name of staff member
 - Date of commencement with Cumbria County Council
 - Termination date

Once the above has been completed the envelope must then be sent to the archives centre not the HR service centre.

3. If there is more than 1 envelope / file it must be numbered accordingly e.g. 1 of 3, 2 of 3 and 3 of 3. If there are multiple envelopes 1 of x, 2 of x, 3 of x etc. do not sellotape the envelopes together. Make sure the numbers of envelopes used are noted.

Staff personnel files – Live (Employee is still working in your establishment)

1. Where you have an employee who has been employed for more than three years you can start to slim down the file. Please be aware that where an employee has **two or more** jobs you **MUST** ensure these are separated out e.g. domestic and support worker. Where there may be information such as training records that may cover the two posts this should not be photocopied but should be added to any one of the two files (preferably the one with the most hours).

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2. All documentation must be removed from plastic wallets and the file must be sorted through to identify any duplicate copies of information. Where there are duplicate copies the original must be retained and the other destroyed as confidential waste.
3. Keep the **most recent three years** worth e.g. 2013, 12 and 11 in your establishment as normal.
4. The last date of entry must be established and the contents then placed in a large envelope with the following details on:
 - **THIS IS STILL A LIVE EMPLOYEE FILE**
 - Name of staff member
 - Date of commencement with Cumbria County Council
5. Where an employee has two or more jobs you must still archive them separately as above and send them to the archives centre.

Financial documentation

1. All financial information in relation to the service e.g. receipts, bank statements, chequebook stubs and catering invoices must be stored by taking the year of the last date of entry on the document and adding the retention date according to the service user details e.g 7 or 10 years retention schedule. Please note that any documentation **MUST BE** archived in financial years, last date being 1st April of the relevant year.
2. Any financial information relating to the individual service user must be archived with service user file e.g. personal monies book.
3. All documentation must be stored by:
 - Taking the last date of entry in the document e.g. financial year 03/02/2020.
 - Adding the appropriate retention years according to the retention schedule e.g. 03/02/2020+6 year for finance.
 - But ensuring the destroy date is always the 1st April of the destroy year e.g. 01/04/26.
4. Boxes must be set up according to the financial year end date, e.g. cheque book stub last date 02/02/20 therefore should be stored in a box (only for finance not mixed in with service users) with destroy date as 01/04/26

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- Follow point 4 and 5 in service user section to order and archive the boxes. List the items individually on the record. If multiple e.g. food invoices state the first and last dates.

N.B Confidential waste must be disposed of appropriately. This can be arranged through E-Procurement.

There is a frequently asked questions guidance: see appendix 4.

<http://www.intouch.ccc/recordsmanagement/default.asp>

Retrieval of files from the records management team

- Use the online form on the intranet. Complete the form by stating what file/s are required and say where they are to be sent.
- In details of what is wanted: state any reference number you have e.g Bevan House Box 4.
- Send it to the generic email address. Most of the Cumbria Care sites are not on internal courier system, therefore they will be sent to the nearest site available e.g. Nan Tate Centre, Barrow for collection.

Electronic Care Recording system (IAS)

- Where the service user is new to Cumbria Care and their records are held on IAS there should be minimal use of hard copy information.
- There may be information such as MAR Charts, body maps, terms of residency etc, these should be scanned as soon as they have been fully completed and uploaded onto the electronic care system on IAS and stored appropriately. Once the information has been scanned and uploaded the hard copy must be disposed of using the confidential waste bags.
- When a service user is permanently discharged / left the service it is the responsibility of the Administrative Assistant to close down / end the IAS Residential Professional Involvements on the record and put the end date on the Residential Workspace after checking with the Duty Supervisor that all work has been completed. The local Adult Social Care Team will then close down the referral and set the appropriate retention date as per the County Council Corporate retention policy.

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