A3 Archiving Procedure

Version: New

Date: 19/10/2023

Extra Care Housing Service	Support at Home Service	OA Day Services	Residential Services	DMH Day Services	DMH Supported Living Services	Community Equipment Services	Shared Lives Service
✓	✓	✓	✓	✓	✓	✓	✓

Contents

POLICY
To ensure all documentation is archived appropriately in line with the Council procedures.

PROCEDURE
Files / documents should be fully archived for service users and staff who have left the service. All live staff and service user files have now been scanned and no new paper records should be created.

All managers, supervisors and administration staff must familiarise themselves with the Council Records Retention and Disposal Schedule available on the intranet.

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.

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.

For staff personnel files only, see overleaf.

Nothing should be archived alphabetically. Records must be archived in year order (see below).

Service user files
Service user files should be stored by the disposal date, the disposal date can be found on the Corporate Retention and Disposal Schedule. All documentation must be stored by:

- taking the last date of entry in the file / document e.g., 03/02/20. For service users, this date will either be the date of death or the date they left the service.
- adding the appropriate retention years according to the retention schedule e.g., 2020+7 years for people who use service files
- but ensuring the destroy date is always the 31st of December of the destroy year e.g., 31/12/27.

Once all the plastic wallets have been removed from the service user files 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 Records Transfer Excel Form.
Either complete Appendix 1a or write the same information on to the front of the file / envelope.

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. You will need the supplier's name and the box code (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.

You need to print off a copy of the Excel spreadsheet with the details of the box contents and place this inside the box. Do not tape a copy of the list to the outside of the box. You only need to write the actual box number on the front. Please ensure you write this in **PENCIL ONLY.**

You will need to log the people who use services name/s on the indexed electronic records transfer form Appendix 2 – Records Transfer Form. The Excel electronic form is available on the intranet.

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. To arrange collection with Records Management email record.centre@cumberland.gov.uk.
- 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 Care Services or The Council (as far as you are aware).

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.
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 the Council
- Termination date

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

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.

Administrative Records

All administrative records relating to the service e.g., receipts, bank statements, chequebook stubs and catering invoices, visitor's books, handover sheets, kitchen records must be stored by taking the year of the last date of entry on the document and adding the retention period from the Corporate Records and Disposal Schedule. Please note that any financial documentation **MUST BE** archived in financial years, last date being 1st April of the relevant year. All other information can be archived by calendar year.

Any financial information relating to the individual people who use services must be archived with people who use services file e.g., personal monies book.

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 of April of the destroy year for finance records e.g., 01/04/26. For other records it should be 31st December.

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 people who use services) with destroy date as 01/04/26.

Follow point 4 and 5 in the service user's 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. A list of records disposed of should also be maintained and retained in this template.

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., Burnrigg Court Box 4.

Send it to the generic email address. Most of the Care Service sites are not on internal courier system, therefore they will be sent to the nearest site for collection.

Electronic Care Recording system (IAS)

Where the service user is new to the service 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 Council retention policy.