



# **Recording Record Management Information - CF6**

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**Integrated Teams Please see separate Guidance**

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# Recording Information about Paper files

## The Importance of Accurate Record Management Data

### Legislation and Regulations

All council records are public records under the Public Records Act 1958.

Legislation requires the implementation of robust records lifecycle management in all public sector organisations. Most recently, the Freedom of Information Act 2000 requires that an organisation can rapidly identify, locate or account for the disposal of records in relation to enquiries and requests for information that it receives. Section 46 of the Freedom of Information Act 2000 lays out specific requirements that all government organisations are expected to meet and will be audited against. Both the Data Protection Act 1998 and the Freedom of Information Act 2000 require that organisations should have published and implemented policies and supporting procedures in relation to the creation, management and disposal of all types of records, regardless of the media on which they are held.

**Poor data quality makes it very difficult to comply with legislation regarding the management and destruction of paper and electronic records. There are legal and cost implications if information is not managed appropriately, for example, holding records for longer than they need to be kept.**

**Please ensure that those responsible for recording information about file location, archiving and destroying records follow this guidance. Monthly audit reports are now produced to monitor breaches in this guidance.**

**Additional Training is available via the CareFirst Support team where required.**

**Please log a CareFirst Support request using ICT Service Desk on Line where errors or queries arise, to ensure errors are rectified correctly.**

**Please note that this guidance document should be used alongside:**

- Retention Schedule for individual social care case files – available on the Wave
- Guidance on transferring record consignments to Modern Records File Storage – available at <http://wave.brighton-hove.gov.uk/search/pages/results.aspx?k=Modern%20records>

**To Follow:**

**See separate Guidance for Integrated Teams who are storing or archiving case files within the Health System**

**Additional Guidance for fully electronic records (IDOX)**

**Due to a change in the storage contract there are some differences to historic and current archiving details.**

- **Since April, 2011 records have been stored/archived off site at Deepstore Records Centre.**

**Some of the initial files sent only had a box number but files archived or returned to storage since 2013 have individual barcodes for each file in addition to the box barcode.**

- **Prior to April 2011, records were stored at Newhaven or Lewes Record Centres. These files have been moved to Deepstore but may still have SN numbers rather than Deepstore Barcodes.**

## To record details of the location of a Paper file:

- Each client may have several paper files or none at all. We need to accurately track the location of all files so they can be readily found. Therefore, information should be recorded to indicate the movement and whereabouts of all paper records within the File Location Section on CareFirst:
- From the Personal Details screen, open the **File Details** folder.

The screenshot shows the CareFirst Personal Details screen for Charlotte Bronte (P77287). The interface includes a navigation pane on the left with icons for Desktop, CAT, and other functions. The main content area displays the following information:

- Personal Name:** Surname: BRONTE, First Names: CHARLOTTE, Title: (empty), Change Name button.
- Personal Details:** Birth Date: 15/05/1995, Age: 14, Estimated? checkbox, Gender: Unknown, NI Number: (empty), A/C Pay Ref: (empty), Debtor Ref: (empty), Warning? checkbox, Duplicate? checkbox, Warning Notes: (empty), Deceased? checkbox, Details button.
- Address Details:** 1 record
- Telephone Numbers/Email:** 0 records
- File Details:** 0 records, No records found, Add File button.
- Other Reference Numbers:** 0 records
- Roles:** 1 record
- Other Names:** 0 records
- Classifications:** 2 records
- Ethnicity:** 1 record

An arrow points from the 'File Details' section to the 'Add File' button.

- To add a new entry, press the **Add File** button.

## The File Details Screen

Desktop

Mr Peter Rabbit P95120

Main Address: 2 New Steine, BRIGHTON, BN2 1PB

Telephone: 01273 654987

RESOURCE E927468

**File Details**

Ref:

File Type: Main File

Destruct Date:

End Date:

Notes:

Box No:

Office Location: \* SW Department RSCH

Start Date: \* 05/01/2009

Save Cancel

### Ref:

**It is essential when storing or archiving records off site that the Deepstore File and Box Barcode Numbers are recorded in the appropriate fields.**

The Ref field is **only** used for File Storage Numbers, these are always prefixed with a 'P'.

The '**Ref**' field is not a required field so should be left blank unless you are recording a File Storage Number.

If you are sending paper records where there are multiple files, please record an entry for each giving the barcode and indicating in the Notes field which file/s it relates to.

Eg 1 of 3 2003 – 2005 Legal File

NB Initially when sending records to Deepstore, this field was used for the BOX number.

Box and File Barcodes are available from Deepstore.

## Information when storing multiple files

When storing multiple files it is important that we are able to track each file.

- If you have very slim files that can readily be merged, please do so.
- If you have a very old file, where papers could separate, to prevent any papers being lost, please tie the file together. Do not use rubber bands as they perish.
- Always add a File Barcode to each file to ensure each of the files can be tracked when stored, retrieved and returned to Deepstore.
- Please record separate entries for each file, do not put Barcode details for additional files in the Notes field.

We appreciate this takes a little extra time, but in order to ensure we comply with Record Management Legislation we have to be able to account for each file individually and are unable to report or search for files or a specific file from the Notes field.

**Please do not record file Barcode numbers in the Notes field.**

**Box No:** Previously boxes of files sent to the Newhaven Records Centre may have been numbered to assist with locating files. Since moving to Deepstore each box will have a unique Barcode number.

Initially as only Barcodes for Boxes were available, these were recorded in the Ref field. Moving forward, all Box Barcodes should be recorded here.

**Please do not record box Barcode numbers in the Notes field.**

**File Type:** Select from the available options:  
Main  
Module  
File on Loan

**Office Location:** Select from the drop down menu, if you are unable to find a suitable option, please log an ICT Service Desk call for CareFirst Support.

Main Record Management options are displayed at the top of the list

- \*Electronic file only (no paper or Idox file)
- \*Health Storage Centre
- \*Idox Files
- \*Paper Files Destroyed
- \*Storage - Archiving Social Care
- \*Storage - Social Care Storage

When using these options, please ensure you indicate in the notes field which entry it relates to.

Eg For a Paper Files Destroyed entry, in the Notes field indicate that this was the File previously held at XXXX Team.

**Destruct Date:** The date when the paper file, Idox documents and electronic record are to be destroyed if there is no subsequent involvement.

This may be an estimated date where sending records for storage rather than archiving.

Where several files are going into the same box with dates a few months apart, you can legitimately 'round up' and record the date as the latest date for the box.

**Start Date:** The date the file commences at the Office Location displayed.

**End Date:** This date would only be completed when the file is sent to a different location or destroyed. Using correct Start and End Dates to record the history of a file and a series of consecutive dates makes the record easier to trace. Where there are a number of entries and notes do not clarify which files have been Stored/Archived see if any end dates and start dates correspond as it may indicate which files were Stored/Archived.

**NB Use Notes to indicate which file an entry relates to when using non specific Options Eg Archive, Paper Files Destroyed and Electronic File only.**

**Notes:** **Always** add any additional supporting information to clarify file location and what type of file, Eg LAC, Legal, Home Care, ASC.

**NB Where there is a family file, please ensure you add a File Location for each member of the family and in the Notes Field indicate all the family members the file relates to.**

## Where there is no Paper File

Eg. All information is held electronically in CareFirst, there may also be documents stored in IDOX .

- Where there is only a CareFirst record, to avoid colleagues looking for Paper or Idox files that do not exist, please indicate by recording an option to reflect this from Office Location menu:

**\*Electronic file only (no paper or Idox file)**

- It is helpful to indicate that there are Idox records. Particularly where there has been some minor involvement since paper files were archived.

**\*Idox Files**

Eg Brief involvement 2013



CareFirst Desktop : MyClient : Personal Details : File Details Session Time Remaining: 01:01

Charlotte Bronte P77287

Main Address: 2 New Steine, BRIGHTON, BN2 1PB

Telephone: Unspecified

**File Details**

Ref:  Box No:

File Type: Main File Office Location: \* \*Electronic file only (no paper file)

Destruct Date: 25/09/2022 Start Date: \* 25/09/2012

End Date:

Notes: Information about who has been involved is typed here.  
eg OT Involvement

Save Cancel

## Recording Retention Periods for electronically held records

Where there is no paper file we will need an indication of when the electronic record should be destroyed.

Information to follow.

## Where the Paper File has been Destroyed

- Please record an entry '**Paper Files Destroyed**' so that it is clear that there is no longer a paper file available.

CareFirst Desktop : Team : Find Person : Personal Details : File Details Session Time Remaining: 01:04

Miss Test Record P69944

Main Address: Address Not In System, ZZ0 0ZZ

Telephone: Unspecified

**File Details**

Ref:  Box No:

File Type: Main File Office Location: \* Paper Files Destroyed

Destruct Date:  Start Date: \* 01/03/2010

End Date:

Notes: (Appropriate Team) File in confidential waste for shredding.

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Save Cancel

**Please ensure the previous entry is ended and a note is added to indicate which paper file has been destroyed.**

## To Record a Change of File Location:

Where a File Location for a paper file has changed, you should end the current/previous Location and record a new entry.

Although the example is showing moving a paper file between teams, now most records outside of CareFirst are scanned into Idox, it will generally relate to old paper files.

Eg Where it has been deemed necessary to use CareSecure to restrict access to a record, as it is not possible to restrict access in Idox, a paper file may be created.

To end an entry:

- From the Personal Details screen, open the **File Details** folder.
- Select the entry you wish to end and press the **Details** button.

The screenshot shows the CareFirst software interface. At the top, the title bar reads "CareFirst Desktop : MyClient : Personal Details : File Details". Below this, the patient's name "Charlotte Bronte P77287" is displayed. The main address is "2 New Steine, BRIGHTON, BN2 1PB" and the telephone is "Unspecified". The "File Details" section contains the following fields:

Ref:	<input type="text"/>	Box No:	<input type="text"/>
File Type:	Main File	Office Location: *	Advice, Contact and Assessment Service
Destruct Date:	<input type="text"/>	Start Date: *	25/08/2012
End Date:	25/09/2012		
Notes:	Transferred to CIN		

At the bottom of the notes field, it says "230 remaining of 250". There are "Save" and "Cancel" buttons at the bottom right of the form.

- Insert the appropriate end date.
- You can insert a new note or add to an existing note.
- Press the **Save** button.
- You must then add a suitable new entry to show where the transferred file is now located.

**File Details**

Ref:

Box No:

File Type:  Office Location: \*

Destruct Date:  Start Date: \*

End Date:

Notes:

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Above the ASC file is to be archived and this is indicated when closing the previous entry.

Below, the Archiving entry indicates which file is archived. The dates correspond making it clear the ASC file has now been archived.

**File Details**

Ref:  Box No:

File Type:  Office Location: \*

Destruct Date:  Start Date: \*

End Date:

Notes:

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## Files to a Person/Department re Complaint/Audit/Other

Where there is no change to the case holding team and current files are required on temporary loan, e.g. for inspection or investigation, the main file entry can remain open.

An additional entry should be recorded to indicate the location of the loaned file.

- From the Personal Details screen, open the **File Details** folder.
- Press the **Add File** button.
- In the File Type select 'File on Loan'.
- Enter the appropriate File Location Eg 'Management Bartholomew House'.
- Record the date the file was sent to the new location.
- Add Notes to indicate any additional information. Eg named person, purpose or room number.

Desktop : MyClient : Personal Details : File Details Session Time Remaining: 03:59

**Mr Peter Rabbit** P95120

Main Address: 2 New Steine, BRIGHTON, BN2 1PB

Telephone: 01273 654987

**File Details**

Ref:  Box No:

File Type: File on Loan  Office Location: \* Management Adults Barts House

Destruct Date:  Start Date: \* 01/12/2009

End Date:

Notes: To Room xxxx for inspection

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- When the File is returned to the usual location, insert the end date in the File on Loan entry.

## Storage (of open case files) and Archiving (of closed cases)

The Record Centre can be used for the storage of files or for Archiving.

### Definition of Storage

This applies when a client is still receiving a service, but due to lack of office space, their earlier files are sent to the storage centre.

This storage section only applies to cases that are still open. If a case has been closed, please follow Guidance for Archiving.

### Guidance for Storage

1. End entries for any files which are being sent for Storage.

You can legitimately 'round up' and record the date for several files going into the same box with dates a few months apart, as the latest date for the box.

2. Give an overview of what you are retaining in the office:

Desktop : MyClient : Personal Details : File Details Session Time Remaining: 03:56

**Mr Peter Rabbit** P95120

Main Address: 2 New Steine, BRIGHTON, BN2 1PB

Telephone: 01273 654987

**File Details**

Ref:  Box No:

File Type:  Office Location: \*

Destruct Date:  Start Date: \*

End Date:

Notes:

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3. Give an overview of the files you are sending to Storage.
4. If you need to hold files until you have filled a box, if you have files for the same year you can archive for the latest date. Otherwise add an entry, and note the file is waiting to be sent. When you send the file you can update/remove the note.
5. In some instances a Destruct Date may be estimated, but in others the Destruct Date is very clear.

Eg Childrens Services, the child has been LAC so whatever other Children's Services are involved, the records will be retained until the child/youngest child in the family reaches 100.

Please ensure the Barcodes are recorded in the 'Ref' and 'Box No' fields.

## Definition of Archiving

The case file is closed and needs to be stored in accordance with the retention schedule.

## Guidance for Archiving

Records for archiving will be identified on receipt of lists from the Systems Support (CareFirst) Team or where the team identify records for Archiving.

1. Record an 'End Date' for the current file location entry/ies for files you are sending to the Record Centre.

If you need to hold files until you have filled a box, if you have files for the same year you can archive for the latest date. Otherwise add an entry, and note the file is waiting to be sent. When you send the file you can update/remove the note.

2. Where applicable, indicate which file/s the entry relates to. (Eg OT or Legal)

3. Record a new entry with Office Location 'Storage- Archiving'
4. In the new entry Add the information indicating which file/s the entry relates to. ( Eg OT or Legal)
5. Insert a Destruct Date as required by the Retention Schedule.
6. Record the Barcode Numbers in the 'Ref' and 'Box' fields.
7. Record the Destruct Date

The screenshot shows a 'File Details' form with the following fields and values:

- Ref: 1234567890
- Box No: [Empty]
- File Type: [Dropdown]
- Office Location: \*Storage - Archiving
- Destruct Date: 01/06/2019
- Start Date: \*01/06/2009
- End Date: [Empty]
- Notes: Indication of which files. eg SIT

Buttons: Save, Cancel

9. The End Date field is left blank.
10. Use the Notes field to add any additional information.

## Access to Stored or Archived Files

There will be occasions where it is necessary to retrieve stored or archived files.

This may be as a temporary loan, where you will return the files and they will continue to be stored using the same Barcode Number.

Alternatively, you may need to permanently withdraw files as the client record is to be reopened or where you wish to resubmit files together for Archiving.

If you wish to archive stored files, or add additional files to previously archived files, please discuss with the Record Centre.

They can advise the best action. Eg There may be space in the same box for an additional file.

## Temporary Loan of Stored or Archived Files

If you need access to Stored or Archived Files on a temporary basis you should follow the Record Centre guidance.

### On receipt of the files on Temporary Loan:

- The Storage or Archive entry remains unchanged.
- Record an entry to indicate the temporary location of the Stored or Archived Files.

Desktop : Team : Find Person : Personal Details : File Details Session Time Remaining: 03:57

**Mr Peter Rabbit** P95120

Main Address: 2 New Steine, BRIGHTON, BN2 1PB  
Telephone: 01273 654987

**File Details**

Ref:  Box No:   
File Type: File on Loan Office Location: \* Sensory Services Team - Montague House  
Destruct Date:  Start Date: \* 20/02/2010  
End Date:   
Notes: File recalled from Record Centre following request from client to see file.

When the file is no longer required:

- End the entry
- Indicate the file was returned to the Record Centre as their guidance.

Desktop : Team : Find Person : Personal Details : File Details Session Time Remaining: 03:59

**Mr Peter Rabbit** P95120

Main Address: 2 New Steine, BRIGHTON, BN2 1PB  
Telephone: 01273 654987

**File Details**

Ref:  Box No:   
File Type: File on Loan Office Location: \* Sensory Services Team - Montague House  
Destruct Date:  Start Date: \* 20/02/2010  
End Date: 02/03/2010  
Notes: File recalled from Record Centre following request from client to see file.  
File returned to Record Centre.]

If the original Storage or Archived File entry is an SN Number, please now add a new entry with the Bar Code and Box number.

If there is already a Bar Code and Box Number, the entry will remain unchanged.

## Permanent Withdrawal of Stored or Archived Files

Where stored or archived files need to be permanently withdrawn from the Record Centre.

Where you wish to archive stored files or add additional files to previously archived files, please discuss with the Record Centre to confirm the best course of action.

Following Agreement with the Record Centre of the action to be taken on receipt of the files from the Record Centre:

- Identify the correct entry
- Insert an end date
- Update the notes field where appropriate.

Desktop Team Find Person Personal Details File Details Session Time Remaining: 03:56

Mr Peter Rabbit P95120

Main Address: 2 New Steine, BRIGHTON, BN2 1PB  
Telephone: 01273 654987

**File Details**

Ref: SN101010 Box No:   
File Type:  Office Location: \* Internal Storage - Archiving  
Destruct Date: 01/01/2020 Start Date: \* 22/11/2005  
End Date: 02/03/2010  
Notes: PDAT files  
Removed from Record Centre as Client record re-opened  
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Save Cancel

- Record a new entry showing the current File Location or new barcodes. See - **To Record details of the location of a file.**

## Summary of Key Points

**It is important that information regarding the location of files is correct. In the event of any queries, please contact CareFirst Support via ICT Service Desk on Line for assistance.**

- As soon as a paper file exists information should be recorded in CareFirst to indicate the movement and whereabouts of the paper file, including any separate modules.
- CareFirst has the capacity to show more than one current file location.
- Information should be recorded to indicate if it is an electronic record only. Please indicate by recording a file location option to reflect this: **Electronic file only (no paper or Idox file)**. Remember to add a note giving additional information eg Children's Disability or Other Team as appropriate.
- Information should be recorded to indicate if documents have been stored in IDOX. Please indicate by recording a file location option to reflect this: **IDOX files**.
- **Information to follow regarding the destruction of CareFirst records where there is no paper file to prompt destruction.**
- CareFirst should be updated to reflect any changes in file location.



- Where there are a number of entries and notes do not clarify which files have been Stored/Archived see if any end dates and start dates correspond as it may indicate which files were Stored/Archived.
- Use 'Details' to add to or view Notes fields for additional information.
- It is important that entries are recorded correctly in order that files can be located quickly and to enable reporting to guide the archiving and destruction process.
- There are legal requirements regarding how records are managed and how long they are retained. If the File Details are not correctly recorded we are unable to accurately report on Destruction Dates.
- There are Legal and cost implications if records are not managed appropriately. The council is audited to ensure it meets legal obligations.
- The Record Centre can be used for Archiving (closed records) and for Storage (open records). When using for Storage a Destruct Date is still required.
- You can legitimately 'round up' and record the date for several files going into the same box with dates a few months apart, as the latest date for the box.
- Where the paper file has been destroyed there is an option to reflect this: **Paper files destroyed**, remember to add a note to indicate which paper files.
- Where there is a family file, please ensure you add a File Location for each member of the family and in the Notes Field indicate all the family members the file relates to.