



Bolton Clinical Commissioning Group

# Corporate Records Archiving Policy & Procedure

<b>Policy Number</b>	<b>REC001</b>
<b>Target Audience</b>	<b>CCG Staff</b>
<b>Approving Committee</b>	<b>CCG Executive</b>
<b>Date Approved</b>	<b>November 2014</b>
<b>Last Review Date</b>	<b>July 2016</b>
<b>Next Review Date</b>	<b>July 2018</b>
<b>Policy Author</b>	<b>Board Secretary</b>
<b>Version Number</b>	<b>Final v1.0</b>

The CCG is committed to an environment that promotes equality, embraces diversity and respects human rights both within our workforce and in service delivery. This document should be implemented with due regard to this commitment.

This document can only be considered valid when viewed via the CCG's intranet. If this document is printed into hard copy or saved to another location, you must check that the version number on your copy matches that of the one online.

Approved documents are valid for use after their approval date and remain in force beyond any expiry of their review date until a new version is available.

## Version Control Sheet

Version	Date	Reviewed By	Comment
Draft v0.1	Nov 14	CSU People Services/ Risk & Complaints Manager/ CSU IG Dept/ M Robinson	
Draft v0.2	Nov 14	Executive	For approval
Final V1.0	July 16	Board Secretary	Reviewed - no changes required.

Analysis of Effect completed:	By:	Date:
-------------------------------	-----	-------

**CONTENTS:**

**SECTION 1. INTRODUCTION .....**

**SECTION 2. RETENTION PERIODS .....**

**2.1 Retention Periods.....**

**2.2 Records for Permanent Preservation.....**

**SECTION 3. ARCHIVING PROCEDURES.....**

**3.1 Archive Facility .....**

**3.2 Procedure .....**

**SECTION 4. RETRIEVAL OF RECORDS .....**

**4.1 General Retrieval .....**

**4.2 Access Requested From Patient or Third Party .....**

**SECTION 5. APPRAISAL/DISPOSAL OF RECORDS.....**

**SECTION 6. CONTACTS**

**Appendix 1 Archive label**

**Appendix 2 Destruction Form**

## **1. Introduction**

It is a fundamental requirement of the NHS that all records are retained for a minimum period, for legal, operational, research and safety reasons. This document provides NHS Bolton CCG staff with procedures to be used when archiving paper records and should be read in conjunction with the CCG's Records Management Policy and Management of HR Information and Records Policy.

## **2. Retention**

### **2.1 Retention Periods**

The length of time records are retained depends on the type of record and importance to NHS Bolton CCG's business.

Retention periods set out in NHS England's Corporate Records Retention and Disposal Schedule and Guidance have been adopted by NHS Bolton CCG and can be obtained from the Board Secretary or can be found on the k drive\CCG document Templates\archiving.

These periods reflect minimum requirements based on legal and other requirements. There will be some records held by NHS Bolton CCG that do not have a retention period stated in the schedule or a note will have been placed in the minimum retention column indicating that some issues are for 'local decision' making. In these cases, recommendations must be presented to the Information Governance Steering Group and Caldicott Guardian for approval and inclusion into the retention schedule.

### **2.2 Records for Permanent Preservation**

In exceptional circumstances records may require permanent preservation – the staff member who is seeking this course of action should gain approval for permanent preservation from the Caldicott Guardian and Information Governance Steering Group. If permanent preservation is agreed the staff member must document clearly the reason for permanent preservation within the record. Records which are not to be destroyed must be labelled accordingly with a label marked "FOR PERMANENT PRESERVATION". The label must be affixed to the outside cover of the record, this will ensure that when records are being culled for destruction they are easily identifiable. Labels are available from the Board Secretary.

### 3. Archiving Procedure

#### 3.1 Archive Facility

NHS Bolton CCG currently uses an off site archive facility managed by DRS. Records that require archiving must be boxed, tagged and recorded using the appropriate process. In the first instance, and if the department has not archived before, contact the Board Secretary who will discuss requirements, provide instructions and correct codes to use for each department.

#### 3.2 Procedure

- Check the NHS Bolton CCG and NHS England's Retention Schedules for the records retention period. These can be obtained from the Board Secretary or can be found on the k drive\CCG document Templates\archiving.

You may have already kept the records/information for the allocated retention period and do not need to archive. Where this is the case, see section 5.1.

- Records must be boxed in either a DRS box or a normal archive storage box with a lid (available from the stationery room on the 1<sup>st</sup> Floor at St Peters House).
- List the documents in the box ensuring the date to which the records refer is clear (one copy to be retained for your records, one copy to go in the box and a copy to be sent to the Board Secretary).
- Records must be packed in alphabetical or chronological order whichever is appropriate to the records. **Do not over pack the boxes.**
- On the lid and front of each box, the label in Appendix 1 must be fully completed and stuck securely on the box. The labels are available from the Board Secretary or can be found on the k drive\CCG document Templates\archiving. **NOTE: The box will not be accepted by DRS if it does not have the completed label on it.**
- Each box must be numbered in chronological order and no number is to be used more than once so they are continuous. The box number must also be written on the side of each box in permanent marker. **NOTE: if the department already archives records, please continue with the numbering sequence used.**

- One archiving record book/database is kept centrally by the Board Secretary but must also be kept in each department to record:
  - Box number.
  - Box description
  - Archive date.
  - Retention date.
  - List of contents.
- This will ensure the CCG know what records have been archived, for retrieval and audit purposes. All staff must be aware of the book/database and where it is stored.
- When the boxes are ready to go to archive, contact the Board Secretary with the number of boxes, content information, box number etc., who will then contact DRS to pick up the boxes once these have been added to the central database.
- All boxes must be packed according to the procedure above.

#### **4. Retrieval of Records**

##### **4.1 General Retrieval**

If you require a record to be retrieved from archive, contact the Board Secretary with the following details:

- Name of department.
- Box number.
- Archive date.
- Name/details of record.

This information will be found in the archiving database held by the relevant department.

Inform the Board Secretary of the urgency of the retrieval using the following options:

Records delivered – Next day: DRS must receive the request before 16.00pm for next day delivery.

Records delivered – Emergency: DRS aim to have records delivered within 4 hours of request.

The Board Secretary will then contact DRS to retrieve and deliver the required boxes to St Peters House/department who made the request.

Once the box(es) has been finished with, contact the Board Secretary to arrange for DRS to return to storage.

## **4.2 Access Requested From Patient or Third Party**

If a record has been requested by the patient or a third party eg. Solicitor. You must contact the Risk & Complaints Manager so the request can be dealt with via them as a subject access request.

## **5 Appraisal/Disposal of Records**

### **5.1 Review of Records**

Each year DRS will produce a list of records that have come to the end of the retention period. This list will be provided to the Board Secretary who will contact the relevant departments to inform them of their records.

If departments have archived records they must be reviewed to check whether they are to be destroyed or allocated a further retention period (this must not exceed 30 years for the full retention period), this decision will be made by the Departmental Manager.

All records will be destroyed by DRS and by no other means.

A destruction form must be completed to record details of each record destroyed which must be kept within the Department. Once the record has been destroyed a Certificate of Destruction will be issued by DRS. The destruction form can be obtained from the Board Secretary or can be found on the k drive\CCG document Templates\archiving.

## **6. Contacts**

Caldicott Guardian: Colin Mercer, Clinical Director, Clinical Governance & Safety – 01204-462030.

Information Camilla Bhondoo, Lead Information Governance & Audit Officers: GMSS – [Camilla.bhondoo@nhs.net](mailto:Camilla.bhondoo@nhs.net)  
07887-201704/0161-212-6166

Corporate archiving Joanne Taylor, Board Secretary – 01204-462028  
Contact:

Risk & Complaints Diane Sankey – 01204-462023  
Manager:

**Appendix 1 – Archive Label**

**BOLTON CCG:**

Archive Code: .....

Department:

Location:

.....

.....

**Archiving Information**

BOX NUMBER: .....

BOX DESCRIPTION: .....

Archive Date:..... Retention Period: ..... years

Review Date: ..... Destruction Date: .....

**Appendix 2 – Destruction Form**

**Department Name:** .....

**Date retention period ended:** .....

**Record details:**

Name of Record

Type of Record

Description

Date to ..... from .....

Date records sent for destruction: .....

Authorising signature: .....

Job title: .....

Date: .....