



## Chief Executive's – Business Unit

### Records Store – SOP

#### Key Information:

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Date of publication	<i>26/1/24</i>
Date of review	<i>ongoing</i>

#### Revision History:

Version:	Date:	Summary of Changes:	Officer:
<i>0.1</i>	<i>13/10/22</i>	<i>First draft</i>	<i>SBSA</i>
<i>1.0</i>	<i>1/12/22</i>	<i>V1 agreed</i>	<i>SIIO</i>
<i>2.0</i>	<i>6/12/23</i>	<i>Added section on disposal, noted details of recorded consignment info on master s/sheet</i>	<i>SIIO</i>
<i>2.1</i>	<i>26/01/24</i>	<i>Rewrote intro. Referred to capacity and requirement for completed documentation at "deposit" section. Updated "retrievals" section, amended note for returns. Note re. transfers to archives, and details of disposal company, added under "disposals"</i>	<i>SIIO</i>
<i>2.1.1</i>	<i>23/5/24</i>	<i>Amended title</i>	<i>SIIO</i>



## **BACKGROUND**

### **TITLE**

Corporate Records Store Procedures

### **Responsibilities**

The Senior Information and Improvement Officer is responsible for records deposited at the records store at Williamwood High School.

This document outlines procedures to ensure the consistent and efficient operation of the store, to ensure that all members of staff follow the same processes when dealing with the accession, storage, retrieval and disposal of material at the store.



## DEPOSIT OF RECORDS

When a Council department/section requests to store records we must refer them to the Council website to obtain full guidance.

<https://www.eastrenfrewshire.gov.uk/records-management-guidance>

Once the department/section has sent an email to CEO Business Unit requesting a consignment number & deposit form we must log all information in the 'Records consignment Control' spreadsheet and on the consignment tab on the .

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Take the next consignment number and complete all fields highlighted in yellow.

Open up a blank consignment form and insert number and save onto desktop.

Note new consignment number on master s/sheet

Provided there is capacity in the store, respond back to requesters email with the following and ensure to attach the consignment form:

### **Email Body**

Good Morning/Afternoon

We do indeed currently have some space at the store.

AS long as the material is:

- Sorted
- Boxed
- Retentioned
- Listed

We can store that at Williamwood and can have it shredded at the end of its retention period(s). Before then you can, of course, retrieve anything you need by contacting us and visiting the store.

Your consignment number is XXX. I have included a blank form for you to list the records. The more detail you can include in this the better the finding aid will be - so please list the material to the appropriate level of detail. You should give each file a 3 part number - for example 123/01/22 is Consignment 123, Box 01, file 22. There is more information on this process in the enclosed guidance and you can check the retention schedule [here](#) but if you are unsure about anything just drop me a line.

Where are you based? I can send you some box stickers in the internal mail: please fill out the box number on these and attach to the short side of the box.

We have no transport so you'll need to arrange delivery. The store is only manned on a part-time basis so please check that we will be there to receive the material before finalising your plans.

Kind Regards



## NAME

If the request is only speculative file correspondence in “potential consignment” until further confirmation is received.

Within the folder click on folder called ‘CONSIGNMENTS’, Create a sub folder with the consignment number, save all correspondence relating to consignment in there including the form saved on desktop (can be deleted after saved in folder)

Wait for requester to email to arrange date & time for records to be dropped off at Williamwood HS Archive store. Ensure documentation is sent back to us electronically and that it is completed appropriately.



## MANAGEMENT OF RECORDS

When the department/section drop off records on the date & time agreed before accepting the consignment we must ensure the following requirements have been met

The consignment must be:

- Sorted
- Filed
- Retentioned
- Boxed
- Labelled (Label should be on short side of box)
- Contents page provided (if possible)

Once we are happy with the submission of the consignment ask the department to place boxes at the back of the archive store on top of the drawers.

Open up 'File Management' spreadsheet and enter password to access spreadsheet.

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Enter all details into spreadsheet – use the 'entering consignment data to RM control sheet' template to assist in filing in all date required.

Go into archive store and find an empty shelf/space to store all boxes and record box location on boxes & on spreadsheet.

Once all data is recorded and retentioned appropriately save spreadsheet, go to review, protect workbook, enter the same password used to open file and save spreadsheet.

The boxes will now stay in that location until their retention period. Once they have completed their time the records will be destroyed freeing up the space for another batch.



## RETRIEVAL OF RECORDS

Although the records have been stored until they reach the end of their agreed retention period, the appropriate officer(s) can request to retrieve the file(s) at any point of their storage.

When we receive an email from department/section to retrieve a certain file/box we must check the 'File Management' spreadsheet to ensure the individual requesting has permission to gain access to those files.

If we are happy the requesting individual can obtain files open up 'RM requests and retrievals' spreadsheet.

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The following actions must be taken before giving out file

1. Complete all information required on 'RM requests and retrievals' spreadsheet.
2. Fill out retrievals slip (Book in office)
3. Record slip number on spreadsheet
4. Tear out slips (white & pink)
5. Retrieve file(s) from store
6. Place pink slip at the side of box (half in and half out)
7. Attach white slip to file.
8. If the file has no individual sticker, make one up and attach

Once removed, note "retrieval reference number" on the "location" field of the master spreadsheet.



## RETURN OF RECORDS

When a file is returned back we must open the 'RM requests and retrievals' spreadsheet and carryout the following steps

1. Fill out return date on spreadsheet
2. Return file to box (file in the correct corresponding order)
3. Remove pink slip from box
4. Place slip(s) in Retrieval & loans folder – located in office on shelf
5. Save spreadsheet

Remove "retrieval reference number" from location field of master spreadsheet

Files returned to departments remain the responsibility of that department until returned to the store, although reminders may be issued periodically asking for returns when appropriate.



## DISPOSAL OF RECORDS

An annual disposal exercise is carried out early in each new year.

“File Management” records sheet is copied to a fresh sheet, sorted by disposal date and, for records in boxes where ALL material is passed its disposal date, these are selected.

These boxes are then considered in detail in a desktop check, then (where required) further considered with a physical check, confirming presence, location and contents

A final list of material, at box level and ensuring no personal data is included “due for disposal” is then circulated among depositing officers.

Retain a separate “file level” list in case depositing officers wish to inspect the list.

In cases where the depositing officer has left their post, another officer with appropriate seniority and now responsible for the function supported by the relevant records should be identified.

Officers should be given 4 weeks in which to respond. If they wish to amend the retention, they must provide a strong case for doing so, and any amendment to schedules should be recorded in the corporate RRS. The email to officers should make it clear that a nil response is taken as authority to dispose in line with the previously agreed retention and documentation submitted at the time of deposit.

Unless depositing officers ask for an extension to the retention, this material is now be brought out, boxes marked in red “FOR DISPOSAL” and arrangements made with ShredAll to visit and complete their on premise shredding.

Ideally, arrange this visit for school holidays. Inform school janitors and John at SEN prior to visit.

Where disposition is marked as “review”, the SIO will determine whether these should pass to archival status.

Records of disposal, including all correspondence should be retained at the disposal file at:  
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Amend the master spreadsheet by transferring all deleted files from the main sheet to the “disposed of” sheet and noting the disposal reference in the “location” field.

For material marked as “A” or “R” and which is selected for archival retention should be noted on “file management” on removal from the system. These are also retained on the “disposals” sheet, but noted as “retained in archives”. Thereafter, the archival accession process followed for the specified records. [NB this recording process was only commenced in 2023; check archival accession records for previous transfers].